



## Document Review Tool

SFY 2021 Update: Area Plan on Aging – SFY2018-2021

---

### SFY 2021 Area Plan Update – Review

*OAA Sec.305(a)(1)(c) and 307(a)(1); Iowa Code 231.23(2); IAC 17-2.3 and 6.2(2)*

In accordance with the federal Older Americans Act, Sections 305(a)(1)(c) and 307(a)(1), Iowa Code 231.23(2), and Iowa Administrative Code (IAC) 17-2.3, the Iowa Department on Aging (IDA) will evaluate the SFY 2021 Area Plan Update to the SFY 2018-2021 Area Plan on Aging utilizing this review and evaluation tool.

### REQUIRED INFORMATION

If an item is marked “No”, the omission will be noted and, where appropriate, IDA will direct the agency to provide the required information by a specified date.

Item	Yes/No
Area Plan Amendment Needed? IAC 17-6.2(6)	
<b>Area Plan Budget</b> IAC 17-6.2(5)b	
Submitted electronically on time? IAC 17-5.9(1) and (2)c; IAC 6.2(2)(b); IAC 17-6.2(5)(b)	
IDA received signed budget cover sheet on time? IAC 17-5.9(1) and (2)c	
Transfers (list and compare to previous years):	
<b>Area Plan Update Narrative</b>	
Submitted on time? IAC 17-5.9(1) and (2)c; IAC 6.2(2)(b)	
Electronically? IAC 17-5.9(1) and (2)c; IAC 6.2(2)(b)	
In accessible format? IAC 17-5.9(1) and (2)b; IAC 6.2(2)(b);	
Followed template, formatting, and edited for clarity? IAC 17-5.9(1) and (2)b; IAC 6.2(2)(b);	
Form 3A-1 provided in plan (Performance and Service Projections section)? IAC 6.2(5)(c)	
<b>Verification of Agency Intent and Compliance: digital signatures must be provided.</b> Iowa Code 231.32(4)	
Authorized signatures provided?	

Item	Yes/No
<b>Direct Service Waivers</b>	
Were any new Requests for Direct Service made? IAC 17-6.12(1)	
If yes, Public Hearing for new direct service requests? IAC 17- 6.2(7)	
If yes, was appropriate form submitted?	
For which services are direct service waivers requested? IAC 17-6.12(1)	
Are reasons identified valid? IAC 17- 6.12(2)	
Signed by Executive Director? IAC 17-5.9(1) and (2)b; IAC 6.2(2)(b)	
<b>Governing Body</b> Iowa Code 231.33(19); IAC 17—6.7(231)	
Was the Governing Board membership information updated?	
Is Board membership representative of the geographic PSA? IAC 17-6.7(2)	
Did the Board Chair sign the verification of agency intent and compliance & authorized signature documents?	
<b>Advisory Council</b> Iowa Code 231.33(6); IAC 17-6.8 (231)	
Was the Advisory Council membership information updated?	
Did agency indicate whether all composition criteria are met? IAC 17-6.8(1)	
Did Advisory Council Chair sign the verification of agency intent and compliance? IAC 17-6.2(7)(b)(2)	
LLL Advisory Council Updated?	
Grievance procedure information updated? IAC 17-6.10(5)	
If yes, new information provided?	
Did agency assure that provider information is up to date in WELLSKY?	
Did agency update how a focal point is identified in the PSA? Iowa Code 231.33(10)	
If yes, new information provided?	

Item	Yes/No
<b>Emergency preparedness plan</b> Iowa Code 231.33(18); IAC 6.9(231)	
Emergency preparedness plan update needed?	
If yes, was it provided?	
Did agency summarize activities as they relate to emergency preparedness planning and plan activation?	
Did agency describe collaboration 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?	
<b>Public Input</b> Iowa Code 231.33(9); IAC 17-6.2(7)	
Public hearing needed? IAC 17-6.2(7)(a)	
IF YES:	
Did agency provide a text copy of the public hearing notice & a list of groups to whom the notice was sent and dates? IAC 17-6.2(7)(a)(2)	
Was the hearing notice distributed to known groups of older individuals, PSA public officials and other interested parties?	
Did the notice include the time, date, and location of the public hearing?	
Was the notice given 14 business days prior to hearing?	
Did agency provide a copy of the agenda that includes the date, time, and location of the hearing?	
Did agenda include a distinct agenda item for priority services? IAC 17-6.2(7)(a)	
If the agency is requesting to provide direct services, did agenda include a distinct agenda item to consider direct services requests? IAC 17-6.2(7)(a)	
Did agency provide a list of people present at the hearing?	
Did agency provide a written summary of the public hearing, including comments specific to the services proposed for direct service provision? IAC 17-6.2(7)(a)(3)	
Is there any indication the hearing location would not have been fully accessible? IAC 6.2(7)(1)	

## Area Plan Update Evaluation (Comprehensive & Coordinated Delivery System)

*OAA Sect. 306(a)(1); Iowa Code 231.33(1);(2);(5);(17)*

Use these questions to evaluate whether the agency is implementing strategies and making progress toward area plan priorities. The area plan must reflect a coordinated service delivery system, be comprehensive enough to guide agency activity during the four-year period, and include effective strategies and measures to evaluate performance in serving older Iowans and Iowans with disabilities.

Item	Yes/No
<b>Plan Clarity</b>	
Was the plan edited for clarity and readability?	

## Update Summary

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

Item	Yes/No
<b>Update Summary or Progress to Date</b>	
<p>Does the update summary provide an overview of accomplishments, initiatives, or changes that have occurred at the agency since the submission and approval of its SFY 2018 - 2021 Area Plan on Aging?</p> <ul style="list-style-type: none"> <li>• Progress to Date</li> <li>• Changes related to service delivery, staffing, and/or priorities that impact the implementation of the area plan (if any).</li> <li>• Accomplishments/Results to Date.</li> <li>• New, Unexpected Challenges.</li> <li>• Rationale for modifications to service gaps (if any).</li> </ul>	
<b>Planned for FY 2021</b>	
Does the summary preview activities, initiatives, or events planned for the upcoming FY?	
Did agency briefly describe major initiatives, activities, or events planned to address identified service gap/s.	
Did agency provide other information pertinent to educate stakeholders on activities or issues impacting service delivery, the plan, agency, or PSA customers?	

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

The Update on Strategies must provide for each goal, information on prioritized service gaps and evidence reporting implementation of progress and strategies. Significant changes in prioritized service gaps to the approved SFY 2018-2021 Area Plan on Aging, may warrant a plan amendment.

Item	Yes/No
<b>Prioritized Service Gaps</b>	
Did agency include brief descriptions of methods used to identify and select service gaps from the approved area plan?	
Did agency conduct new assessment activities that resulted in changes to prioritized service gaps?	
If yes, did agency describe activities and why the new service gap was deemed to be a higher priority than the previously identified service gap?	
Did agency explain how the decision was made to add or replace and why.	
<b>Reports of Progress and Strategies Implementation</b>	
Service Gap: Is agency retaining service gap from approved plan?	
If yes, was service gap from the approved plan?	
If no, is new service an actual gap (description of difference between current situation and desired situation) that impacts consumers? <ul style="list-style-type: none"> <li>• Is it a strategy?</li> <li>• Is it measurable?</li> </ul>	
Was rationale for changing included in the Prioritized Service Gaps section?	
<b>Indicators to gauge progress in addressing service gap</b>	
Did agency list indicators used to evaluate progress on addressing the identified service gap? (Indicators may be a combination of qualitative and quantitative items.)	
Do the indicators relate to the outcome or expected result of the strategies instead of the activities related to the strategy? (For example, the number of referrals from a target population vs. the number of outreach events to the target population.)	
<b>Strategies to Address Service Gap</b>	
Were strategies from approved plan in each row under the Current Strategies column?	
Did agency add, revise, or remove strategies?	

Item	Yes/No
If yes: <ul style="list-style-type: none"> <li>• Were the strategy changes discussed in the Strategy Activities to Date section?</li> <li>• Do the strategies relate to the identified service gaps?</li> <li>• Do strategies appear as though they will result in progress toward impacting the service gap?</li> <li>• Are there evident conflicts between strategies and requirements in contracts or rule?</li> </ul>	
Does the information indicate that agency is making progress on area plan activities and on addressing identified service gaps?	
For strategies in progress or completed, did agency summarize activities that have occurred or will occur this fiscal year (SFY 2020)?	
For strategies not started or stalled, did agency address causes?	
Did indicators to gauge progress (listed above) inform evaluation of success/revision of strategy?	
Strategy Activities Planned for upcoming FY	
Did agency list the strategy activities planned for SFY 2021?	
Does the information indicate that agency is working toward area plan activities and addressing identified service gaps?	
Did indicators to gauge progress (listed above) inform evaluation of success/revision of strategy?	

## Section 2: Performance and Service Projections

For each measure the agency must copy the FY 2021 target from the approved SFY 2018-2021 Area Plan on Aging, insert corresponding results and dates, set reasonable levels of achievement that set a high quality standard for consumer outcome and provide narrative for targets that have increased or decreased by ten (10) percent.

### Service and Funding Projections

Compare service and funding projections for all services across agencies. Service exclusions and variations in service projections may exist for good reason; this comparison informs IDA staff on service availability.

Item	Yes/No
<b>Funding Alignment</b>	
Are services offered that are otherwise not offered statewide?	
Which services have a wide projections gap among agencies?	
Do service and funding projections align with priorities and strategies?	

Item	Yes/No
<b>Performance Measures &amp; Fiscal Year Target</b>	
Do targets appear reasonable, achievable, and set an adequate standard for improving consumer outcome?	
Did agency describe activities impacting performance on target to date?	
Did agency increase / decrease target by 10%? If yes, did agency indicate reason for change?	
<b>Projected Older Americans Act Consumers and Service Units</b>	
Is the estimated number of individuals to be served realistic/adequate?	
Do service projections to members of the target population(s) appear realistic/adequate?	
How do consumer projections compare with past consumer projections and with actual consumers served?	
Is the estimated number of units to be provided realistic/adequate?	
How do unit projections compare with past unit projections and with actual units provided?	
Does projected funding appear adequate to serve projected number of individuals/units?	
How does funding projections compare with past projections and with actual expenditures?	
Compare mandatory service and funding projections. Do the service and funding projections for mandatory services indicate a consumer will have consistent access to the services across the state?	
<b>Service Delivery Information</b>	
Did agency indicate whether it uses a self-direction service delivery approach to providing services to older adults and/or caregivers?	
Did agency indicate whether it uses a voucher method for caregivers to obtain respite services?	
If agency does use vouchers, was requested information provided?	
<b>Service Coverage &amp; Wait List Information</b>	
If coverage issues exist, did agency provide a plan to cover mandatory services (i.e., home delivered meal)?	
Did agency indicate whether it has a waiting list for area plan services?	
If a wait list is used, did agency provide requested waiting list information?	
If a wait list is used, did agency adequately describe how members of the public may obtain agency's wait list policy?	

### Section 3: Quality Management

Quality management of service programs encompass three functions: data collection which assesses ongoing program implementation, remediation of problem areas, and evidence of continuous improvement.

Item	Yes/No
Did agency indicate changes to quality management activities?	
If yes, was updated information provided?	

### Section 4: Public Input

Item	Yes/No
Did the agency provide updated governing board and advisory council membership information, including composition criteria satisfied?	
Was documentation of public input provided as stated previously under REQUIREMENTS?	

### Attachments

#### Authorized Signatures

Item	Yes/No
Did the agency complete signatories using the format specified in this document?	

#### Grievance Procedures

Item	Yes/No
Did agency indicate that it updated the information on how members of the public may obtain the grievance procedures related service provision?	
If yes, does the updated process appear adequate / accessible to the public?	

#### Staffing and Volunteer Information

Item	Yes/No
Did agency provide the <i>anticipated</i> number of full and part-time positions at the agency, SCSEP beneficiaries employed at the agency, and volunteers supporting the agency for SFY 2021 (7/1/2020)?	

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

Item	Yes/No
Did agency assure that nutrition service information is up to date in WELLSKY? <ul style="list-style-type: none"> <li>Any questions or issues with nutrition service information?</li> </ul>	
Did agency assure that provider information is up to date in WELLSKY? <ul style="list-style-type: none"> <li>Any questions or issues with service contract providers identified?</li> <li>Compare WELLSKY provider list with services in service coverage by county.</li> <li>Compare with direct service waiver request, was contractor listed for service not provided directly?</li> </ul>	
Did agency assure that senior center / focal point information is up to date in WELLSKY?	
Did agency update information on how a focal point is identified in the PSA?	

**Emergency Plan Summary**

Item	Yes/No
Did agency update emergency preparedness information in plan?	
If yes, is emergency planning, plan activation, and collaboration information appear to be thorough enough to inform a useful emergency plan?	

**Direct Service Waivers**

Item	Yes/No
Did agency have any direct service waivers?	
If yes, is this a plan to continue? (no action required)	
If yes, and it is a new plan has the proper procedure been followed?	

**Verification of Agency Intent and Compliance**

Item	Yes/No
Has the Verification of Agency Intent and Compliance document been signed and submitted?	

## Final Recommendations

### Area Plan Strengths / Items of Interest

Item	Yes/No
List innovative strategies, best practices, or other noteworthy items.	

### Information Requiring Corrections or Clarifications

Item	Yes/No
List missing required information, corrections, or revisions that must be addressed in order for agency to approve.	

### Technical Assistance

Item	Yes/No
List potential technical assistance issues or topics.	