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SENIORS & PEOPLE WITH DISABILITIES
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Administrator

INFORMATION MEMORANDUM

SPD-IM-02-068

Date: November 27, 2002

TO: Area Agency on Aging Directors CHS SDA Managers
CHS/AAA Field Managers and Staff CHS SDA Assistant Managers
SPD Managers and Staff CHS Central Office Managers

SUBJECT: Planning for 2003-2007 Older Americans Act Area Plans

INFORMATION: This memo is to remind all Area Agencies on Aging (AAAs) that their current 4-year Area Plans will expire June 30, 2003. SPD is in the process of requesting a waiver from the US Administration on Aging (AoA) to extend the current area plans for six months. AAAs should be developing their Area Plans for 2003 – 2007. An Area Plan Work Group has been meeting the last few months to revise the Area Plan Template. Following is a time line for area plan development, submission and approval. We have also included an outline of the general process for developing an area plan, resources, a summary of OAA area planning requirements, and the section from the Older Americans Act (unofficial compilation) with detailed area plan requirements.

Time Line: The following dates are contingent upon approval of the SPD waiver request, to extend current area plans six months, to the Administration on Aging. Please note that the following time line does not include the planning process that each AAA will need to conduct for their area plan. You will need to develop your own time line that coordinates with the schedule listed below.

August, 2002 – December, 2002	Revise Area Plan Template
November, 2002 – February, 2003	Update AAA Contracts
December 2, 2002 – January 10, 2003	AAA Comments on Draft Template
January 13, 2003 – January 27, 2003	Finalize and Distribute Template
February 11/12, 2003	Area Plan Template & Contract training at O4AD Quarterly
February, 2003	Announce Planning Allocations for 2003 – 2005

April 15, 2003	AAA 2003/2004 Budgets submitted to SPD
April 16, 2003 – June 30, 2003	Complete Contracts
September 30, 2003	2003 – 2007 Area Plans due to SPD
October 1, 2003 – December 31, 2003	Review, Correct & Approve Plans

Outline of area plan process used by AAAs: Following is a general outline of the process that many AAAs follow in completing their area plans. This outline is a general guideline to help you develop a process that works for your agency and community.

Needs assessment (examples of information resources – 2000 Census, community forums, community & provider surveys, etc.);

1. Evaluate how well current services are meeting community needs;
2. Synthesize and prioritize this information;
3. Based on priorities develop recommendations for funding;
4. Public hearings to present recommendations to the community and receive feedback;
5. Incorporate public comments into final recommendations that are submitted to the Senior Advisory Committee (SAC);
6. SAC reviews and approves recommendations to the agency governing board;
7. The agency governing board has final review and approval authority;
8. AAA then writes and submits area plan to SPD by April 15, 2003.

Note: Community forums and advisory councils can be helpful in completing Steps #1, #2 & #3.

Resources:

- US Census Bureau – www.census.gov. Go to Fact Finder to request specific census information for you area. Angela Blanchard has taken a class from the Census Bureau and is available for technical assistance questions.
- Population Research Center, Portland State University – www.upa.pdx.edu/CPRC/. This site has a number of population reports that may be pertinent to your agency needs assessment.
- US Dept. of Health & Human Services, Administration on Aging – www.aoa.gov. This site is in the process of being updated. You will want to make sure you are in the old web page.
- AgingStats.gov – www.agingstats.gov. This is an interesting web site that includes a report on key indicators of well-being for older adults.
- Access to Disability Data, an InfoUse Project – www.infouse.com/disabilitydata/.

- Strategic Planning & Community Needs Assessments –
http://eric-web.tc.columbia.edu/admin_finance/strategic/ch2.html. This site has a very good article on strategic planning and needs assessment.
www.dlapr.lib.az.us/cdt/commneeds/htm. This site details how to do a community needs assessment for small rural libraries. It contains good descriptions of needs assessments processes and tools.
www.health.state.mn.us/communityeng/index.html. This site addresses community engagement in public health. There is some excellent information about the general process of conducting needs assessments, involving the community in your strategic planning, etc.

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Attachments

38 Sec. 306 OLDER AMERICANS ACT OF 1965
AREA PLANS

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—

- (1) provide, through a comprehensive and coordinated system, for supportive services, nutrition services, and, where appropriate, for the establishment, maintenance, or construction of multipurpose senior centers, within the planning and service area covered by the plan, including determining the extent of need for supportive services, nutrition services, and multipurpose senior centers in such area (taking into consideration, among other things, the number of older individuals with low incomes residing in such area, the number of older individuals who have greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas) residing in such area, the number of older individuals who have greatest social need (with particular attention to low-income minority individuals) residing in such area, and the number of older individuals who are Indians residing in such area, and the efforts of voluntary organizations in the community), evaluating the effectiveness of the use of resources in meeting such need, and entering into agreements with providers of supportive services, nutrition services, or multipurpose senior centers in such area, for the provision of such services or centers to meet such need;
- (2) provide assurances that an adequate proportion, as required under section 307(a)(2), of the amount allotted for part B to the planning and service area will be expended for the delivery of each of the following categories of services—
 - (I) services associated with access to services (transportation, outreach, information and assistance, and case management services);

- (II) in-home services, including supportive services for families of older individuals who are victims of Alzheimer's disease and related disorders with neurological and organic brain dysfunction; and
 - (III) legal assistance; and assurances that the area agency on aging will report annually to the State agency in detail the amount of funds expended for each such category during the fiscal year most recently concluded;
- (3) (A) designate, where feasible, a focal point for comprehensive service delivery in each community, giving special consideration to designating multipurpose senior centers (including multipurpose senior centers operated by organizations referred to in paragraph (6)(C)) as such focal point; and
- (B) specify, in grants, contracts, and agreements implementing the plan, the identity of each focal point so designated;
- (4) (A) (i) provide assurances that the area agency on aging will set specific objectives for providing services to older individuals with greatest economic need and older individuals with greatest social need, include specific objectives for providing services to low-income minority individuals and older individuals residing in rural areas, and include proposed methods of carrying out the preference in the area plan;
- (ii) provide assurances that the area agency on aging will include in each agreement made with a provider of any service under this title, a requirement that such provider will—
- (I) specify how the provider intends to satisfy the service needs of low-income minority individuals and older individuals residing in rural areas in the area served by the provider;
 - (II) to the maximum extent feasible, provide services to low-income minority individuals and older individuals residing in rural areas in accordance with their need for such services; and

- (III) meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals and older individuals residing in rural areas within the planning and service area; and
 - (iii) with respect to the fiscal year preceding the fiscal year for which such plan is prepared—
 - (I) identify the number of low-income minority older individuals in the planning and service area;
 - (II) describe the methods used to satisfy the service needs of such minority older individuals; and
 - (III) provide information on the extent to which the area agency on aging met the objectives described in clause (i);
- (B) 1 provide assurances that the area agency on aging will use outreach efforts that will—
 - (i) 1 identify individuals eligible for assistance under this Act, with special emphasis on—
 - (I) 1 older individuals residing in rural areas;
 - (II) 1 older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas);
 - (III) 1 older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas);
 - (IV) 1 older individuals with severe disabilities;
 - (V) 1 older individuals with limited English-speaking ability; and
 - (VI) 1 older individuals with Alzheimer’s disease or related disorders with neurological and organic brain dysfunction (and the caretakers of such individuals); and

- (ii) 1 inform the older individuals referred to in sub-clauses (I) through (VI) of clause (i), and the caretakers of such individuals, of the availability of such assistance; and
 - (C) contain an assurance that the area agency on aging will ensure that each activity undertaken by the agency, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older individuals and older individuals residing in rural areas;
- (5) provide assurances that the area agency on aging will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities, with agencies that develop or provide services for individuals with disabilities;
- (6) provide that the area agency on aging will—
 - (A) take into account in connection with matters of general policy arising in the development and administration of the area plan, the views of recipients of services under such plan;
 - (B) serve as the advocate and focal point for older individuals within the community by (in cooperation with agencies, organizations, and individuals participating in activities under the plan) monitoring, evaluating, and commenting upon all policies, programs, hearings, levies, and community actions which will affect older individuals;
 - (C)(i) where possible, enter into arrangements with organizations providing day care services for children, assistance to older individuals caring for relatives who are children, and respite for families, so as to provide opportunities for older individuals to aid or assist on a voluntary basis in the delivery of such services to children, adults, and families; and
 - (iii) if possible regarding the provision of services under this title, enter into arrangements and coordinate with organizations that have a proven record of providing services to older individuals, that—

- (I) were officially designated as community action agencies or community action programs under section 210 of the Economic Opportunity Act of 1964 (42 U.S.C. 2790) for fiscal year 1981, and did not lose the designation as a result of failure to comply with such Act; or
 - (II) came into existence during fiscal year 1982 as direct successors in interest to such community action agencies or community action programs; and that meet the requirements under section 676B of the Community Services Block Grant Act;
- (D) establish an advisory council consisting of older individuals (including minority individuals and older individuals residing in rural areas) who are participants or who are eligible to participate in programs assisted under this Act, representatives of older individuals, local elected officials, providers of veterans' health care (if appropriate), and the general public, to advise continuously the area agency on aging on all matters relating to the development of the area plan, the administration of the plan and operations conducted under the plan;
- (E) establish effective and efficient procedures for coordination of—
 - (i) entities conducting programs that receive assistance under this Act within the planning and service area served by the agency; and
 - (ii) entities conducting other Federal programs for older individuals at the local level, with particular emphasis on entities conducting programs described in section 203(b), within the area;
- (F) coordinate any mental health services provided with funds expended by the area agency on aging for part B with the mental health services provided by community health centers and by

- other public agencies and nonprofit private organizations; and
- (G) if there is a significant population of older individuals who are Indians in the planning and service area of the area agency on aging, the area agency on aging shall conduct outreach activities to identify such individuals in such area and shall inform such individuals of the availability of assistance under this Act;
- (7) provide that the area agency on aging will facilitate the coordination of community-based, long-term care services designed to enable older individuals to remain in their homes, by means including—
- (A) development of case management services as a component of the long-term care services, consistent with the requirements of paragraph (8);
 - (B) involvement of long-term care providers in the coordination of such services; and
 - (C) increasing community awareness of and involvement in addressing the needs of residents of long-term care facilities;
- (8) provide that case management services provided under this title through the area agency on aging will—
- (A) not duplicate case management services provided through other Federal and State programs;
 - (B) be coordinated with services described in subparagraph (A); and
 - (C) be provided by a public agency or a nonprofit private agency that—
 - (i) gives each older individual seeking services under this title a list of agencies that provide similar services within the jurisdiction of the area agency on aging;
 - (ii) gives each individual described in clause (i) a statement specifying that the individual has a right to make an independent choice of service providers and documents receipt by such individual of such statement;
 - (iii) has case managers acting as agents for the individuals receiving the services and

- not as promoters for the agency providing such services; or
 - (iv) is located in a rural area and obtains a waiver of the requirements described in clauses (i) through (iii);
- (9) provide assurances that the area agency on aging, in carrying out the State Long-Term Care Ombudsman program under section 307(a)(9), will expend not less than the total amount of funds appropriated under this Act and expended by the agency in fiscal year 2000 in carrying out such a program under this title;
- (10) provide a grievance procedure for older individuals who are dissatisfied with or denied services under this title;
- (11) provide information and assurances concerning services to older individuals who are Native Americans (referred to in this paragraph as “older Native Americans”), including—
 - (A) information concerning whether there is a significant population of older Native Americans in the planning and service area and if so, an assurance that the area agency on aging will pursue activities, including outreach, to increase access of those older Native Americans to programs and benefits provided under this title;
 - (B) an assurance that the area agency on aging will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and
 - (C) an assurance that the area agency on aging will make services under the area plan available, to the same extent as such services are available to older individuals within the planning and service area, to older Native Americans; and
- (12) provide that the area agency on aging will establish procedures for coordination of services with entities conducting other Federal or federally assisted programs for older individuals at the local level, with particular emphasis on entities conducting programs described in section 203(b) within the planning and service area.
- (13) provide assurances that the area agency on aging will—

- (A) maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships;
 - (B) disclose to the Assistant Secretary and the State agency—
 - (i) the identity of each nongovernmental entity with which such agency has a contract or commercial relationship relating to providing any service to older individuals; and
 - (ii) the nature of such contract or such relationship;
 - (C) demonstrate that a loss or diminution in the quantity or quality of the services provided, or to be provided, under this title by such agency has not resulted and will not result from such contract or such relationship;
 - (D) demonstrate that the quantity or quality of the services to be provided under this title by such agency will be enhanced as a result of such contract or such relationship; and
 - (E) on the request of the Assistant Secretary or the State, for the purpose of monitoring compliance with this Act (including conducting an audit), disclose all sources and expenditures of funds such agency receives or expends to provide services to older individuals;
- (14) provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title; and
- (15) provide assurances that preference in receiving services under this title will not be given by the area agency on aging to particular older individuals as a result of a contract or commercial relationship that is not carried out to implement this title.
- (16) provide assurances that funds received under this title will not be used to pay any part of a cost (including an administrative cost) incurred by the area agency on aging to carry out a contract or commercial relationship that is not carried out to implement this title;

- (17) provide assurances that preference in receiving services under this title will not be given by the area agency on aging to particular older individuals as a result of a contract or commercial relationship that is not carried out to implement this title;
- (b) Each State, in approving area agency on aging plans under this section, shall waive the requirement described in paragraph (2) of subsection (a) for any category of services described in such paragraph if the area agency on aging demonstrates to the State agency that services being furnished for such category in the area are sufficient to meet the need for such services in such area and had conducted a timely public hearing upon request.
 - (c) (1) Subject to regulations prescribed by the Assistant Secretary, an area agency on aging designated under section 305(a)(2)(A) or, in areas of a State where no such agency has been designated, the State agency, may enter into agreement with agencies administering programs under the Rehabilitation Act of 1973, and titles XIX and XX of the Social Security Act for the purpose of developing and implementing plans for meeting the common need for transportation services of individuals receiving benefits.

Summary of OAA Area Planning Requirements: (See attached section of Older Americans Act pertaining to area plans for details.)

- (1) Determine the extent of need for and evaluate the effectiveness of supportive services, nutrition services, and multipurpose senior centers; taking into consideration, among other things,
 - (a) the number of older individuals with low incomes residing in your area,
 - (b) the number of older individuals who have greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas),
 - (c) the number of older individuals who have greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas),
 - (d) the number of older individuals who are Native Americans residing in your area, and
 - (e) the efforts of voluntary organizations in the community.
- (2) Set specific objectives for providing services to older individuals with greatest economic and social need, including specific objectives for providing services to low-income minority individuals and older individuals residing in rural areas.
- (3) For the fiscal year preceding the fiscal year the plan is prepared:
 - (a) Identify the number of low-income minority older individuals and older individuals residing in rural areas in your service area;
 - (b) Describe the methods used to satisfy the service needs of such minority older individuals; and
 - (c) Provide information on the extent to which the area agency on aging met the objectives describes in #2.
- (4) Ensure that activities undertaken by the agency, including planning, advocacy, and systems development, will include a focus on the needs of low-income minority older individuals and older individuals residing in rural areas.
- (5) Coordinate planning, identification, assessment of needs and provision of services for older individuals with disabilities, with particular attention to individuals with severe disabilities and

with agencies that develop or provide services for individuals with disabilities.

- (6) If there is a significant population of older Native Americans in your area:
 - (a) Describe the activities your AAA will pursue, including outreach, to increase access of older Native Americans to programs and benefits and
 - (b) describe how the AAA will coordinate the services the agency provides with services provided under Title VI.

- (7) Conduct public hearings to receive input and feedback from older individuals, family members and service providers in your area regarding your area plan. Hearings should be targeted to facilitate attendance by individuals in greatest economic and social need (with a special focus on low-income minority individuals and older individuals in rural communities).