

State of Vermont Older Americans Act Policy and Operations Manual

August 2019 Edition

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Section I. Overview & Purpose

The [United States Older American's Act \(OAA\)](#) was passed in 1965, along with the creation of Medicare and Medicaid. The Act calls for creation of a comprehensive and coordinated system of services and supports for all Americans age 60 years and older who are in “greatest economic and social need”. The Vermont Agency of Human Services is a recipient of OAA funds and is responsible for managing those funds on behalf of Vermonters via the Department of Disabilities, Aging & Independent Living's (DAIL) State Unit on Aging.

The OAA contains seven (7) titles (listed below) that are designed to instruct states on the rights of Older Americans and the management of OAA funding.

- ⊗ **Title I**: Declaration of Objectives & Definitions
- ⊗ **Title II**: Administration on Aging
- ⊗ **Title III**: Grants for State and Community Programs on Aging
- ⊗ **Title IV**: Activities for Health, Independence, and Longevity
- ⊗ **Title V**: Community Service Senior Opportunities Act
- ⊗ **Title VI**: Grants for Native Americans
- ⊗ **Title VII**: Vulnerable Elder Rights Protection Activities

The purpose of this manual is to:

- Describe the roles and responsibilities of the [Vermont State Unit on Aging \(SUA\)](#).
- Describe the roles and responsibilities of [Vermont's Area Agencies on Aging](#).
- Describe the purpose of Vermont's [State Plan on Aging and Area Plans](#).
- Describe the way [OAA funding](#) is managed by Vermont.
- Provide requirements, [instructions and technical support](#) to recipients of OAA Title III & Title VII funding.
- Provide a reference to [OAA related services](#) that are unique to Vermont.
- [Inform the public](#) about how OAA services are managed in Vermont.

This manual is maintained by the [State Unit on Aging](#) within the Agency of Human Services, Department of Disabilities, Aging & Independent Living (DAIL), Adult Services Division and will be updated annually as needed.

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Section II. Definitions

Key Definitions of the Older Americans Act (OAA)

For a complete list of all definitions in the Older Americans Act, please see OAA Section 102.

Area Agency on Aging – An area agency on aging designated under section 305(a)(2)(A) or a State agency performing the functions of an area agency on aging under section 305(b)(5) of the OAA.

Family Caregiver – An individual who is the informal provider of in-home and community care to, and is the primary caregiver for, an older individual.

Elder Justice – From a societal perspective, efforts to prevent, detect, treat, intervene in, and prosecute elder abuse, neglect, and exploitation; and protect older individuals with diminished capacity while maximizing their autonomy; and from an individual perspective, the recognition of an older individual's rights, including the right to be free of abuse, neglect, and exploitation.

Focal Point – A facility established to encourage the maximum collocation and coordination of services for older individuals.

Greatest Economic Need - the need resulting from an income level at or below the poverty line.

Greatest Social Need - The need caused by noneconomic factors, which include:

- (A) physical and mental disabilities;
- (B) language barriers; and
- (C) cultural, social, or geographical isolation, including isolation caused by racial or ethnic status, that—
 - (i) restricts the ability of an individual to perform normal daily tasks; or
 - (ii) threatens the capacity of the individual to live independently.

Long-Term Care / Long-Term Services and Supports - The service, care, or item (including an assistive device), including a disease prevention and health promotion service, an in-home service, and a case management service—(A) intended to assist individuals in coping with, and to the extent practicable compensate for, a functional impairment in carrying out activities of daily living; (B) furnished at home, in a community care setting, or in a long-term care facility; and (C) not furnished to prevent, diagnose, treat, or cure a medical disease or condition.

Minority: A person's self-reported racial and ethnic identity includes one or more of the following: Asian American, Black or African American, Hispanic or Latino, Native Hawaiian and Pacific Islander, American Indian and Alaska Native." (the OAA itself does not include a definition of minority; the OAA Performance System guidance uses the definition included here).

Multipurpose Senior Center – A community facility for the organization and provision of a broad spectrum of services, which shall include provision of health (including mental and behavioral health), social, nutritional, and educational services and the provision of facilities for recreational activities for older individuals.

Older Vermonter – An individual who is 60 years of age or older living in Vermont.

State Unit on Aging – The agency designated under section 305(a)(1) of the OAA to administer the OAA programs in the state.

OAA Reference: Section 102.

See also [OAA Service Definitions for State Program Reporting](#) (pages 21-26).

Section III. ROLE OF THE STATE UNIT ON AGING

A. Overview:

According to the Older Americans Act (OAA), every state must have a state agency designated as the State Unit on Aging (SUA) to oversee the OAA funding, programs and services in the state. In Vermont the designated State Unit on Aging is the Department of Disabilities, Aging and Independent Living (DAIL).

As the State Unit on Aging, DAIL is required to:

1. Develop a State Plan on Aging for submission to the Assistant Secretary on Aging; and administer the State Plan in accordance with Title III of the OAA, as amended. *See Section V. State Plan on Aging.*
2. Be responsible for planning, policy development, administration, coordination, priority setting, and evaluation of all state activities related to the objectives of the OAA.
3. Assure that the views of recipients of State Plan on Aging services will be considered regarding matters of policy.
4. Serve as an effective and visible advocate for older Vermonters by reviewing, commenting on and recommending appropriate action for all State plans, budgets and policies which may impact older Vermonters.
5. Divide the State into distinct planning and service areas considering the geographical distribution of older Vermonters, the incidence of the need for supportive services, nutrition services, legal assistance and senior centers, and the distribution of older Vermonters who have greatest economic and social need. Designate for each such area a public or private nonprofit agency or organization as the Area Agency on Aging (AAA) for such area. *See Section IV. Role of the Area Agencies on Aging.*
6. Develop, in collaboration with the designated Area Agencies on Aging, a formula for the distribution of OAA funding among the agencies that uses the best available data, is responsive to demographic changes and targets those in greatest social and economic need. *See Section VII. Budget and IFF.*
7. Provide technical assistance, monitoring and evaluation of AAA Area Plans, budgets, data and relevant services and supports, including OAA and non-OAA related programs, services, grants and contracts.
8. Report annually to the Administration for Community Living (ACL) on Vermont's use of OAA funds and OAA services provided, in accordance with ACL's instructions.
9. Promote OAA services and supports.

Section IV. ROLE OF THE AREA AGENCIES ON AGING

A. Overview

The role of the **Area Agency on Aging (AAA)** is to act as a regional planning entity to foster the development and implementation of a comprehensive and coordinated system to serve older Vermonters, age 60 years and older, and family caregivers within the AAA service area. In Vermont, there are five AAAs covering five regions of the state (see Attachment A for map and details):

1. Age Well
2. Central Vermont Council on Aging
3. Northeast Kingdom Council on Aging
4. Senior Solutions
5. Southwestern Vermont Council on Aging

All services and supports within the comprehensive and coordinated system should be **targeted to those in greatest economic and social need**. AAAs should be able to document how services are targeted and the results of that targeting. *See Section II. Definitions* for definitions of “greatest economic need” and “greatest social need.”

Key goals for such a comprehensive and coordinated system are to:

1. Secure and maintain maximum independence and dignity in a home and community environment for older Vermonters capable of self-care with appropriate supportive services
2. Remove barriers to economic and personal independence for older Vermonters
3. Provide a continuum of care for older Vermonters
4. Secure the opportunity for older Vermonters to receive in-home and community-based long-term services and supports
5. Support social connectedness and social participation of older Vermonters, including volunteering, civic engagement and employment opportunities
6. Align with the objectives of [Title I of the OAA](#).

B. AAA Requirements under the OAA

1. Area Plan and Budget

Each AAA is required to submit to the State Unit on Aging for approval an Area Plan, *see Section VI. Area Plans*, describing goals, objectives, strategies and performance measures for the

continued development and improvement of the comprehensive and coordinated system to serve older Vermonters within the AAA service area.

The Area Plan serves as the AAA's contract with the State Unit on Aging, authorizing the usage of Older Americans Act funds within the service area.

Accompanying the plan, the AAA must submit its annual budget to the DAIL business office according to the guidance set forth in *Section VII. Budget and IFF* of this manual and in the Area Plan Budget Instructions.

Detailed Area Plan Instructions are provided by the SUA annually in the spring of each year. AAAs shall follow all instructions in order to receive Area Plan approval.

2. Coordination of Comprehensive System of Services

Each AAA is required to:

1. Concentrate resources, build community partnerships and enter into cooperative agreements (grants and contracts) with agencies and organizations for the delivery of services. Cooperative agreements can be made with:
 - a. Providers, including voluntary organizations or other private sector organizations of supportive services, nutrition services and multipurpose senior centers
 - b. Organizations representing or employing older Vermonters or their families
 - c. Organizations that provide training, placement and stipends to volunteers in community service settings
 - d. Indian tribes and tribal organizations
 - e. State agencies and other AAAs
2. Submit to the SUA for review and approval all cooperative agreements for services using OAA funding prior to entering into such agreements.
3. Designate, where feasible, a focal point for comprehensive service delivery in each community, giving special consideration to designating multipurpose senior centers as such focal points and specify, in grants, contracts, and agreements implementing the Area Plan, the identity of each designated focal point. Every effort shall be made to co-locate supports and services at such designated focal points.
4. Conduct outreach to identify older Vermonters eligible for assistance under the OAA, with special emphasis on those who are in greatest economic and social need, socially isolated, and low-income minority and limited-English proficient.
5. Coordinate planning, identification, assessment of needs, and provision of services for older Vermonters with disabilities, with particular attention to individuals with severe

disabilities, and individuals at risk for institutional placement with agencies that develop or provide services.

6. Make use of trained volunteers in providing direct services delivered to older Vermonters, including those with disabilities, needing such services, and if possible, work in coordination with organizations that have experience in providing training, placement and stipends for volunteers or participants in community service settings.
7. Set specific objectives within the Area Plan, consistent with state policy, for providing services to older Vermonters with greatest economic need, older Vermonters with greatest social need, and older Vermonters at risk for institutional placement.
8. Set specific objectives within the Area Plan, consistent with state policy, for providing services to low-income minority Vermonters, older Vermonters with limited English proficiency and older Vermonters residing in rural areas.
9. In each agreement with a provider of any service under OAA Title III, the AAA must include a requirement that the provider will:
 - a) Specify how the provider intends to satisfy the identified service needs of low-income minority Vermonters, those with limited-English proficiency and those in rural areas (if these populations live within the service area);
 - b) provide such services; and
 - c) meet specific objectives established by the AAA for providing such services to these targeted populations within the service area.
10. Follow all OAA requirements and SUA procedures around the provision of direct service and the requirement to request waivers for AAA provision of direct service. *See Section XIII. Direct Service Waiver.*
11. Report data required by the Older Americans Act and the Administration for Community Living regarding people served, services provided, and expenditures made under the OAA, including identification of the number of low-income, minority individuals served, those living in rural areas served, and those with ADL and IADL needs served, and how the AAA met the objectives to serve these targeted populations. *See Section XIV. Data Systems, Collection and Reporting.*

3. Inclusion of Older Vermonters' Voices in Planning and Advocacy

Each AAA is required to:

12. Serve as the advocate for older Vermonters within the region by monitoring, evaluating and commenting upon all identified policies, programs, hearings, levies and community actions which will significantly affect older Vermonters.

13. Assure that the views of recipients of AAA services will be considered regarding matters of program development, service delivery and policy advocacy.
14. Establish and maintain an advisory council consisting of older Vermonters (including minority individuals and older individuals residing in rural areas) who are participants or who are eligible to participate in OAA programs, family caregivers of such older Vermonters, representatives of older Vermonters, service providers, representatives of the business community, local elected officials, providers of veterans' health care (if appropriate), and the general public, to continuously advise the AAA on all matters relating to the development of the area plan, the administration of the plan and operations conducted under the plan.

OAA Reference: Section 301-302; 306.

Section V. STATE PLAN ON AGING

A. Overview:

In order to plan for the ongoing and future needs of older adults in Vermont and to meet the requirements of Section 307 of the Older Americans Act (OAA), the Department of Disabilities, Aging and Independent Living (DAIL), the designated State Unit on Aging (SUA) for Vermont, is required to prepare a State Plan on Aging for submission to the federal Administration for Community Living (ACL) every two, three or four years. ACL provides detailed instructions to states on the requirements of the plan.

Vermont's current four-year State Plan for the period October 1, 2018 (FFY19) through September 30, 2022 (FFY22) is available online at: <https://asd.vermont.gov/resources/state-plans>.

B. State Plan on Aging:

DAIL has been given the authority to develop and administer the State Plan on Aging in accordance with all of the State activities related to the purposes of the OAA, including the development of comprehensive and coordinated systems for the delivery of supportive services, such as multipurpose senior centers and nutrition services, and to serve as the effective and visible advocate for older adults and family caregivers in Vermont.

The State Plan aligns with the broader vision and goals of DAIL, assuring a focus on strategic priorities and outcomes, and fulfillment of OAA responsibilities. The State Plan offers a framework for the ongoing operations of programs funded through the OAA and describes the coordination and advocacy activities the state will undertake to meet the needs of older Vermonters, including integrating health and social services delivery systems. In addition, the plan reflects the Vermont Agency of Human Services' vision that Vermonters should be healthy, safe and achieve their greatest potential for well-being and personal independence in healthy, safe and supportive communities.

As required by ACL, the plan includes the following key components:

1. Executive Summary
2. Analysis of Demographics and Demographic Trends in the State
3. Results of the Statewide Needs Assessment
4. Description of the Aging Services Network
5. Goals, Objectives, Strategies, Performance Measures and Outcomes
6. Emergency Preparedness Plans

7. Quality Management Plans
8. Summary of Public Hearing and Comment Process
9. Intrastate Funding Formula
10. Assurances to Meet the Requirements of the OAA

DAIL uses the performance measures identified in the plan to track the state's progress using the State's Performance Scorecard platform and the Results Based Accountability framework. DAIL and partners will seek to understand answers to the questions, "how much?" "how well?" and "is anyone better off?" within each objective of the plan. The federal Administration for Community Living reviews progress annually with DAIL.

OAA Reference: Section 307.

Section VI. AREA PLANS

A. Overview

This section sets forth the policies and procedures governing the development and submission of the Area Plan and Plan Updates. Each Area Agency on Aging (AAA) shall prepare and develop an area plan for a planning and service area for a multi-year period as determined by the SUA, with such annual adjustments as may be necessary. Each plan shall be based upon a uniform format for Area Plans following the Area Plan Instructions provided annually.

The current Area Plans for Vermont's AAAs are located online at:

<https://asd.vermont.gov/services/aaa-oaa-services>.

B. The Area Plan Process

1. Area Plans

Area Plans will include:

- a) Needs assessment
- b) Assurances that the AAA will set specific objectives for providing services to older Vermonters who are:
 - a. at greatest social and economic need
 - b. at risk for institutional placement
 - c. low-income minority individuals
 - d. limited English proficient
 - e. residing in rural areas

And include proposed methods to achieve these specific objectives.

- c) Objectives, performance measures and proposed strategies to achieve objectives.
- d) Assurances. All assurances required to be met by the AAAs are found in the Area Plan Instructions.
- e) Information detailing how the AAA 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.
- f) Requests for waivers to provide direct service. *See Section XIII. Direct Service Waivers.*

2. Public Hearing Requirements

- a) Public input is a very important part of the Area Plan process.
- b) Each AAA must hold, at a minimum, one in-person public hearing on its Area Plan (an option to participate remotely may be made). The hearing must be held after the plan is drafted and before the plan is submitted to SUA for approval. The hearing must be publicized broadly for maximum attendance.

- c) More detailed Area Plan Instructions are sent to AAAs for completing their plans.

3. Area Plan Updates

- a) Twice a year AAAs are asked to report on progress of their specific performance measures as outlined in their Area Plan.
- b) AAAs submit Area Plan Updates annually, including more detailed progress reports on all objectives and performance measures, and any proposed amendments to goals, objectives, strategies and performance measures.

OAA Reference: Section 306.

Section VII. BUDGET AND INTRASTATE FUNDING FORMULA

A. Overview:

The five Area Agencies on Aging (AAAs) are required to outline goals, objectives and strategies for the use of OAA funds. The AAAs then report annually in the Area Plan Updates as to the status of their achievements. AAAs are also required to electronically submit annual reports as part of the State Program Report (SPR). The SPR provides demographic data on service recipients, service data and financial data. Annually DAIL reviews SPR reports with the AAA Executive Directors to ensure accurate and consistent reporting across all five AAAs. In addition, the Department of Disabilities, Aging, and Independent Living (DAIL) staff meets regularly with AAA Directors as well as maintaining phone contact.

The DAIL Business Office (BO) reviews and approves the budget for each Area Agency on Aging. A checklist for budget review is utilized by the BO to ensure that for all Title III and VII funds that are budgeted, the required matching and earmarking requirements are being adhered to. The State Unit on Aging provides programmatic input to the BO during this review process to ensure Area Plan programmatic goals and budgets align. The BO approves the budgets for the Area Agencies on Aging.

Once the AAA's narrative and budget have been approved by DAIL, a letter accepting the Area Plan Update (narrative) and a Notification of Grant Award is sent to each AAA. The AAA is required to accept the Notice of Grant Award by signing the Notice and sending it back to the DAIL BO.

B. Intrastate Funding Formula:

The OAA requires that every state with AAAs develop an Intrastate Funding Formula that is responsive to demographic changes and targets those in greatest social and economic need.

1. Guiding Principles:

A. Stability: Avoid distributing large funds associated with a small number of people. This is a challenge for Vermont's AAA service areas, which have small numbers of people in many cohorts of 'greatest social and economic need'.

B. 'Best available data': Use the Special Tabulations (AGID) completed by the Administration for Community Living (ACL) of the American Community Survey (ACS) 5-year estimates. The ACS produces annual population estimates and provides population estimates based on averages of a recent 5-year period. The "Special Tabulation" completed by ACL provides data divided by the "Planning Service Areas" (PSA), the

service areas of the individual AAAs. The ACS 5-year Survey is described by the U.S. Census Bureau (in Guidance for Data Users) as providing more precision for small populations than other data sources. As most population cohorts in Vermont are small, the Special Tabulation of the ACS 5-year Survey is utilized as “best available data” for the purpose of the IFF.

2. Funding Factors:

This IFF emphasizes distribution of funds based on the numbers of people living in poverty, and the numbers of people who are age 85+.

A. Service Base: distribution of 10% of total funds available for distribution, divided equally among the five AAAs (i.e. 2% per AAA).

B. Area Plan Administration: distribution of 10% of total funds available for distribution, divided equally among the five AAAs (i.e. 2% per AAA).

C. Age:

- 15% of the remaining funds distributed by the proportion of people age 60-74 in each PSA.
- 15% of the remaining funds distributed by the proportion of people age 75-84 in each PSA.
- 27% of the remaining funds distributed by the proportion of people age 85+ in each PSA.

D. Age and economic need: 40% of the remaining funds distributed by the proportion of people age 60+ and at or below 100% of the Federal Poverty Level in each PSA.

E. Age and social need, defined as limited English: 1% of the remaining funds distributed by the proportion of people age 60+ and with limited English proficiency in each PSA.

F. Age and social need, defined as minority status: 1% of the remaining funds distributed by the proportion of people age 60+ and minority in each PSA.

G. Age and social need, defined as living alone: 1% of the remaining funds distributed by the population of people age 60+ and living alone in each PSA.

The BO prepares a Resource Projections sheet that is sent to each of the AAAs based on the above Intrastate Funding Formula (IFF) methodology. Resource Projections are based on demographic percentages calculated 18 months in advance of the federal fiscal year implementation.

Based on the Resource Projections sent, it is the responsibility of the AAA to complete a budget as noted above. Once DAIL receives final notification of the grant award from the Department of Health and Human Services the Resource Projections sheet is updated and the AAAs are

required to make changes to their budget, if applicable, and have the budget reapproved by DAIL.

C. Request for Funds:

The AAAs draw down their awarded funds on a monthly basis, which is 1/12th of the approved budget amount/grant amount. The AAAs complete a “Request for Funds” sheet, which outlines by title the grant award, payments received year-to-date, grant left available, amount requested, and new balance. The form also requests for the funds expected to be on hand at the beginning of the month and anticipated need for the next 30 days. The form states, “If anticipated need is not at least 1/12th of the awarded amount the State reserves the right to adjust payment request.” The “Request for Funds” is signed by the authorized official of the AAA, typically the Executive Director. The cash request form is then received by DAIL. The DAIL BO reviews it, compares the requested amount to the amount already requested, and to the total amount they may receive per the budget. The BO also breaks out the amount of prior year funding in each draw request, using a special project ID code to identify the amount of funding related to the period of performance. If everything appears in order and correct, the BO will sign the request to note it is approved. A State VISION System voucher is created and printed for each draw. Once the voucher has been printed, it is approved, and budget checked in the VISION System and then signed. The voucher is then processed by Finance for payment through the State system.

D. Monitoring of Subrecipients:

DAIL monitors the AAAs in a variety of ways:

1. DAIL BO monitors AAAs through the tracking of the receipt of the AAAs’ quarterly expenditure reports and annual audit reports.
2. Every quarter the AAAs submit reports of expenditures to DAIL. Semi-annually the DAIL BO enters the information into a spreadsheet in preparation for creating the Financial Status Reports for ACL.
3. Each AAA is required to have a single audit conducted in accordance with the requirements in Uniform Guidance 2 CFR 200 (Subpart F), and the audit report is required to be submitted to DAIL for review. As there are only five Area Agencies, the DAIL BO is well aware of which audit reports have not been submitted and there is constant communication with each AAA. The DAIL BO reviews the audit reports and agrees expenditure amounts on the audit report to DAIL’s records.

E. Resource Projections:

DAIL will issue the resource projections as close to April of the prior Federal Fiscal year as possible using the best published data available as of March of the prior Federal Fiscal year. DAIL will send AAAs the methodology used in determining the resource projections, so that AAAs will have an opportunity to review the methodology and ask questions.

F. General Rules Pertaining to AAA Funding

1. Title III funds, with the exception of Title III-E funds, must be matched by fifteen percent (15%) non-Federal match. Five percent (5%) of the non-federal match must be state funds. National Family Caregiver Program funds, Title III-E, must be matched with a twenty-five percent (25%) non-federal match.
2. Title III funds used for Area Plan Administration (APA) require a twenty five percent (25%) non-Federal match. Expenses for Area Plan Administration should be recognizable by FASB 116 and 117. Area Plan Administration must be funded with Title IIIC-1 or non-AoA funding source. An AAA may only apply APA to programs not listed as allowable direct services in Section V (Waivers).
3. Each AAA must budget their allocated funds for Area Plan Administration, or the State will redistribute any unbudgeted funds by formula to other AAAs.
4. AAAs budget allocations of Title III-B, III-C-1 or III-C-2 funds require the approval of DAIL. The Department limits the amount of funds that each AAA may transfer to not more than 30% between Titles III-B and C, or not more than 40% between Titles III-C-1 and III-C-2.
5. Title III-B funds are for Supportive Services only. III B funding is to support the coordination and delivery of the services and cannot be used for the purchase of goods, with the exception of assistive technology. *See Section VIII. Supportive Services.*
6. Title III-C-1 funds are for Congregate Meal programs, nutrition counseling, education and other nutrition services, and Area Plan Administration. *See Section IX. Nutrition Services.*
7. Title III-C-2 funds are for Home Delivered Meals, nutrition counseling, education and other nutrition services. *See Section IX. Nutrition Services.*

8. Title III-D funds are for Disease Prevention and Health Promotion Programs and activities which have been demonstrated through rigorous evaluation to be evidenced based and effective for improving the health and well-being or reducing disease, disability and/or injury among older adults. (ACL revised the definition of “evidence-based” as of 10/01/16. The revised definition can be found here: http://www.aoa.acl.gov/aoa_programs/hpw/title_IIID/index.aspx). *See Section X. Health Promotion Disease Prevention Services.*
9. Title III-E funds are for the National Family Caregiver Support Program. Funds may be used to provide the five categories of services authorized in the OAA: 1) information services; 2) access assistance; 3) counseling; 4) respite care; and 5) supplemental services. All Case Management, Information and Assistance, Respite and other expenses for family caregivers should be budgeted in this program. The category of supplemental services is designed to be used on a limited basis. As a result, each AAA must receive approval from the Department **in advance** of providing supplemental services and may dedicate no more than twenty percent (20%) of the Federal funding to this category. AAA are also required to provide caregiver services to older relative caregivers of children age 18 and younger but may dedicate no more than ten percent (10%) of federal funding to this type of service. *See Section XI. Family Caregiver Support.*
10. Title VII funds are for Elder Abuse Prevention services, including public education and outreach, training, service coordination and multidisciplinary activities. *See more details in Section XII. Elder Rights and Protections.*
11. Nutrition Services Incentive Program (NSIP) funds are to support the Congregate and Home-Delivered Nutrition Programs by providing an incentive to serve more meals. NSIP funds must be used exclusively to purchase food, not meal preparation, and may not be used to pay for other nutrition-related services such as nutrition education or for State or local administrative costs.
12. Each AAA shall expend at least 65% of III B funds for Access to Services, 1% of III B funds for In-home Services and 5% of III B funds for Legal Assistance.
13. AAAs must budget expenses for Nutrition Education since it is a State required activity.
14. Food and Nutrition Services (FNS - Food Stamp Outreach Program) require a fifty percent (50%) non-Federal match. These funds must be allocated within the Case Management and Information & Assistance programs, and in the Information and Access Assistance programs under Title III E.

15. Administrative costs are to be spread by the percentage of total cash expenses to each program.
16. Equipment costing over \$5000/unit (per piece of equipment) must have authorization from the funding source if Federal funds are to be used.
17. Local funds must be expended in accordance with the budgeted use of local funds.
18. AAAs may only use their anticipated FY2019 funding and unbudgeted prior year funds, unless DAIL has an audit or draft audit identifying the carryover amounts from the prior year.
19. An Area Agency on Aging must expend 85% of its annual allocation and any carryover of special service funds during the current year. Special service funds are used to help meet the unmet needs of individuals for which there are no other available resources.
20. The Department will only allow an AAA to draw in a proportionate share of their Title III, Title VII funds, State Base General Fund, Special Services, Nutrition Service-Meals, Flexible funds, Nutrition Services Incentive Program funds (NSIP), and Volunteer Outreach funds each month (i.e. 1/12th per month). Cash requests above the proportionate share will require an acceptable explanation. AAA will minimize the elapse time between the Federal funds drawn and the expenditure of funds for program purposes.

There are many other specific regulations, rules and/or policies attached to specific revenue sources such as the Senior Companion program, for example. More information about specific requirements can be found in the grant agreements, contracts and program regulations for a specific revenue source. The above list is not meant as a comprehensive list of rules for AAA funding but should serve as a list of some more general rules that AAAs should be aware of.

G. Use of Specific Categories of State General Funds:

Within the AAA Resource Projections, state general funds are allocated for several specific state general fund categories including:

1. Volunteer Outreach Funds
2. Nutrition Service & Home Delivered Meals
3. Alzheimer's Fund
4. Long Term Care Flex Funds
5. Special Services Fund

6. 3SquaresVT (Transfer to DCF)
7. Elder Care Clinician (Transfer to DMH)

Note that Medicaid funded programs, such as self-neglect grants, are not included in the resource projections.

Below are guidelines for usage of these funds:

1. Volunteer Outreach Funds: To be used to increase the AAAs' capacity to make effective use of volunteers, including increasing volunteers and volunteer hours.
2. Nutrition Service & Home Delivered Meals: To be used to support the Title III-C home delivered meals and congregate meals programs.
3. Alzheimer's Fund: Also known as the *State Dementia Respite Grant Program*, to be used to support the well-being of family caregivers of people diagnosed with Alzheimer's Disease or another form of dementia. DAIL has specific grant agreements with AAAs which include additional details on the allowable usage of these funds.
4. Long Term Care Flex Funds: To be used to support individuals age 60 and older or people with disabilities to be able to maintain their independence and live in the setting of their choice. Unlike OAA Title III-B funding which can only be used for service-related supports, these funds may be used for living expenses (i.e. rent or utilities), home repairs and adaptive equipment, and the purchase of products (i.e. dentures or eyeglasses) in addition to services such as personal care. Special consideration should be given to serve those in greatest economic and social need in the service area.
5. Special Services: To be used according to the same guidelines as Long Term Care Flex Funds above.
6. 3SquaresVT: This is funding transferred by MOU from DAIL to the Department for Children and Families (DCF) to support outreach and application assistance to older Vermonters who may be eligible for 3SquaresVT food benefits. DCF manages the grants directly with the AAAs.
7. Elder Care Clinician: This is funding to serve older Vermonters who need mental health services but are unable to access those services in an office and so are served in their homes. Funding is managed by MOU from DAIL to the Department of Mental Health (DMH) for Medicaid reimbursement. Funding is distributed by DAIL to the AAAs who contract with the designated mental health agencies in their region to provide the direct mental health services.

H. Use of Base Allocation of State General Funds:

In addition to OAA funding, DAIL manages State General Funds provided to AAAs to supplement the OAA funds for services. A portion of these funds are targeted to specific programs and services with separate requirements. Another portion are considered base general funds or the base allocation. The following principles for the use of base general funds should guide all AAAs in funding allocation decisions:

1. Funds should be targeted to serve those in greatest social and economic need, consistent with the OAA and AAA mission.
2. Funds should be used to supplement OAA funds when OAA funds do not suffice to meet targeted service needs.
3. Funds can be used flexibly in that they are designed to be responsive to local needs or changes and to support organizational and programmatic stability.

Moving Base State General Funds: If a AAA plans to make a budgetary change from one fiscal year to the next, moving more than \$50,000 from one budgetary category to another, the DAIL business office and SUA requires an explanation in advance of budget submission to understand the proposed change and its impact on services. The AAA must make this request at least 15 days in advance of the budget submission deadline.

I. AAAs and Requests for Fee-For-Service:

Per Older Americans Act (OAA) regulations, AAAs are not allowed to require that individuals age 60 and older pay for services provided under the Older Americans Act, but service providers must provide individuals the opportunity to voluntarily contribute to the cost of the service (45 CFR §1321.67).

AAAs may develop a contract in which a business or organization pays a fee to the AAA for the above services to be provided to individuals. Such a contract must be approved by DAIL.

In connection with the submission and review of requests for approval of fee-for-service contracts, the following protocol shall be followed:

1. The AAA shall submit the request in writing via email to the Director of the State Unit on Aging, and include:
 - a. a cover letter outlining the rationale for the request, to include the following:
 - i. a statement that the provision of the contracted services will not result in the loss or diminution in the quantity or quality of the services provided by the AAA under the OAA;

- ii. a demonstration as to how the OAA services provided by the AAA will be enhanced by the provision of the contracted services; and
 - iii. a demonstration that the provision of the contracted services is necessary to assure an adequate supply of the services; that such services are directly related to the AAA's administrative functions; or the AAA can provide the services more economically and with comparable quality.
 - b. a draft of the proposed contract;
 - c. proposed rates for contracted services, including a description of services to be provided at such rates;
 - d. assurances that the organization is not using OAA funds to develop or implement the service and is not passing on the costs of the services to individuals, and
 - e. costs for developing and implementing such services.
2. DAIL shall aim to respond to the proposal within 60 days after receipt of a request which addresses each of the above elements. During this period, DAIL may consult with ACL.
 3. The AAA shall respond to any and all questions from DAIL related to the proposed arrangement.
 4. The contract shall be approved only if the arrangement is acceptable to both DAIL and ACL.
 5. If the contract is approved, the AAA shall sign a letter of agreement with DAIL regarding the AAA's reporting responsibilities to DAIL with regard to the proposed contract.
 6. The AAA shall inform DAIL of any changes to the approved contract, including changes to rates, or terminations.

OAA Reference: Section 305 (IFF), Section 309 (Payments), Section 212 (Contracting/Private Pay)

Section VIII. SUPPORTIVE SERVICES (Title III B)

A. Overview:

Essential to the Older Americans Act's (OAA) ability to support older adults and family caregivers are the many home and community-based supportive services authorized in Title III, Part B of the OAA, which ensures that Area Agencies on Aging (AAAs) can meet the individual needs of older adults and their caregivers in the community. The funding for services provided through III B is flexible, allowing agencies to develop programming to reflect community needs and provide tailored supports for older adults and ensure the system of supports is comprehensive and coordinated.

B. Services:

There are more than 25 authorized supportive services that AAAs can fund through Title III B, but the most common services funded in Vermont are information and referral, case management, in-home care, transportation and legal services.

Below is a complete list of services contained in the OAA Section 321:

1. Health (including physical, mental and behavioral health, which includes substance use and suicide risk), education and training, welfare, informational, recreational, home-maker, counseling, referral, chronic condition self-care management, or falls prevention services;
2. Transportation services to facilitate access to supportive services or nutrition services, and services provided by an area agency on aging, in conjunction with local transportation service providers, public transportation agencies, and other local government agencies, that result in increased provision of such transportation services for older individuals;
3. Services designed to encourage and assist older individuals to use the facilities and services (including information and assistance services) available to them, including language translation services to assist older individuals with limited- English speaking ability to obtain services under this title;
4. Services designed to:
 - a. Assist older individuals to obtain adequate housing, including residential repair and renovation projects designed to enable older individuals to maintain their homes in conformity with minimum housing standards;
 - b. Adapt homes to meet the needs of older individuals who have physical disabilities;

- c. Prevent unlawful entry into residences of older individuals, through the installation of security devices and through structural modifications or alterations of such residences; or
 - d. Assist older individuals in obtaining housing for which assistance is provided under programs of the Department of Housing and Urban Development;
- 5. Services designed to assist older individuals in avoiding institutionalization and to assist individuals in long-term care institutions who can return to their communities, including:
 - a. client assessment, case management services, and development and coordination of community services;
 - b. supportive activities to meet the special needs of caregivers, including caretakers who provide in-home services to frail older individuals; and
 - c. in-home services and other community services, including home health, homemaker, shopping, escort, reader, and letter writing services, to assist older individuals to live independently in a home environment;
- 6. Services designed to provide to older individuals legal assistance and other counseling services and assistance, including:
 - a. tax counseling and assistance, financial counseling, and counseling regarding appropriate health and life insurance coverage;
 - b. representation—(i) of individuals who are wards (or are allegedly incapacitated); and (ii) in guardianship proceedings of older individuals who seek to become guardians, if other adequate representation is unavailable in the proceedings; and
 - c. provision, to older individuals who provide uncompensated care to their adult children with disabilities, of counseling to assist such older individuals with permanency planning for such children;
- 7. Services designed to enable older individuals to attain and maintain physical and mental well-being through programs of regular physical activity, exercise, music therapy, art therapy, and dance-movement therapy;
- 8. Services designed to provide health screening (including mental and behavioral health screening and falls prevention services screening) to detect or prevent (or both) illnesses and injuries that occur most frequently in older individuals;
- 9. Services designed to provide, for older individuals, pre-retirement counseling and assistance in planning for and assessing future post-retirement needs regarding public and private insurance, public benefits, lifestyle changes, relocation, legal matters, leisure time, and other appropriate matters;
- 10. Services of an ombudsman at the State level to receive, investigate, and act on complaints by older individuals who are residents of long-term care facilities and to advocate for the well-being of such individuals;
- 11. Provision of services and assistive devices (including provision of assistive technology services and assistive technology devices) which are designed to meet the unique needs

- of older individuals who are disabled, and of older individuals who provide uncompensated care to their adult children with disabilities;
12. Services to encourage the employment of older workers, including job and second career counseling and, where appropriate, job development, referral, and placement, and including the coordination of the services with programs administered by or receiving assistance from the Department of Labor, including programs carried out under the Workforce Innovation and Opportunity Act;
 13. Crime prevention services and victim assistance programs for older individuals;
 14. A program, to be known as “Senior Opportunities and Services”, designed to identify and meet the needs of low-income older individuals in one or more of the following areas:
 - a. development and provision of new volunteer services;
 - b. effective referral to existing health (including mental and behavioral health), employment, housing, legal, consumer, transportation, and other services;
 - c. stimulation and creation of additional services and programs to remedy gaps and deficiencies in presently existing services and programs; and
 - d. such other services as the Assistant Secretary may determine are necessary or especially appropriate to meet the needs of low-income older individuals and to assure them greater self-sufficiency;
 15. Services for the prevention of abuse of older individuals in accordance with chapter 3 of subtitle A of title VII and section 307(a)(12), and screening for elder abuse, neglect, and exploitation;
 16. In service training and State leadership for legal assistance activities;
 17. Health and nutrition education services, including information concerning prevention, diagnosis, treatment, and re-habilitation of age-related diseases and chronic disabling conditions;
 18. Services designed to enable mentally impaired older individuals to attain and maintain emotional well-being and independent living through a coordinated system of support services;
 19. Services designed to support family members and other persons providing voluntary care to older individuals that need long-term care services;
 20. Services designed to provide information and training for individuals who are or may become guardians or representative payees of older individuals, including information on the powers and duties of guardians and representative payees and on alternatives to guardianships;
 21. Services to encourage and facilitate regular interaction between students and older individuals, including services for older individuals with limited English proficiency and visits in long-term care facilities, multipurpose senior centers, and other settings;
 22. In-home services for frail older individuals, including individuals with Alzheimer’s disease and related disorders with neurological and organic brain dysfunction, and their families, including in-home services defined by a State agency in the State plan

submitted under section 307, taking into consideration the age, economic need, and noneconomic and non-health factors contributing to the frail condition and need for services of the individuals described in this paragraph, and in-home services defined by an area agency on aging in the area plan submitted under section 306;

23. Services designed to support States, area agencies on aging, and local service providers in carrying out and coordinating activities for older individuals with respect to mental and behavioral health services, including outreach for, education concerning, and screening for such services, and referral to such services for treatment;
24. Activities to promote and disseminate information about life-long learning programs, including opportunities for distance learning; and
25. Any other services necessary for the general welfare of older individuals.

C. Service Coordination:

AAAs are required to coordinate III B services described above with other community agencies and voluntary organizations providing the same or similar services to ensure a comprehensive and coordinated system. AAAs should also pursue opportunities for the development of intergenerational shared site models for co-location of programs or projects.

D. Direct Service:

Title III B supportive services shall not be provided directly by an Area Agency on Aging, with the following exceptions:

1. Information and Assistance
2. Case Management
3. Outreach

All other supportive services must be by cooperative agreement with other community service providers. Temporary direct service waivers may be requested by the AAA to the State Unit on Aging. *See Section XIII. Direct Service Waivers* of this manual for details.

Please note that for the service of case management, AAAs may provide direct service, and in doing so are required to follow the [Case Management Standards and Certification Procedures for Older American's Act and Choices for Care - January 2017](#) for all case management clients.

E. Funding:

1. III B funding is to support the coordination and delivery of the above services and cannot be used for the purchase of goods, with the exception of assistive technology.
2. III B funding may be used for the purpose of assisting in the operation of multipurpose senior centers and meeting all or part of the costs of compensating professional and technical personnel required for the operation of multipurpose senior centers.
3. III B funding shall supplement, and not supplant, any Federal, State, or local funds expended by a AAA or local service provider to provide services described above.
4. AAAs seeking to provide III B services as described above via a private-pay arrangement or fee-for-service contract must seek approval from DAIL. *See Section VII. Budget & IFF.*

F. Reporting:

All services provided using OAA Title III B funding shall be reported to the SUA annually via the required reporting system for OAA data. The SUA may at any time during the year request additional data about these services provided by the AAAs, and AAAs shall respond as accurately and timely as possible. More detailed instructions about data reporting shall be provided to AAAs annually; questions may always be directed to the SUA Director. *See Section XIV. Data Systems, Collection and Reporting.*

OAA Reference: Section 321.

Section IX. NUTRITION SERVICES PROGRAM (Title III C)

A. Introduction

Nutrition plays an important role in promoting good health and preventing disease for all Americans. The OAA Nutrition Services Program (OAA NSP) promotes the health and wellbeing of older adults through access to nutritious meals, social contacts, nutrition screening, nutrition education and nutrition counseling. Providing nutritious, well-prepared meals for older adults is the foundation of Vermont's OAA NSP. Ensuring the meals are prepared and delivered with the highest food safety standards is of equal importance.

This guidance is intended to be a resource for Area Agencies on Aging (AAAs), Nutrition Services Program managers and food preparation staff and volunteers who are responsible for preparing and providing nutrition services under Title III – C of the Older Americans Act.

The purpose of the OAA NSP is to:

- Reduce hunger and food insecurity
- Promote socialization
- Promote health and well being

The target population for the program includes:

- Low income older adults
- Minority older adults
- Older adults living in rural communities
- Older adults with limited English proficiency
- Older adults at risk of institutional care

B. Participant Eligibility

Home Delivered Meal (HDM) Nutrition Services (Title III C 2)

Persons eligible are those individuals age 60 or over who are unable to leave home without considerable difficulty and/or assistance; **and** who experience a physical or mental condition making them unable to obtain food or prepare meals on a temporary or permanent basis. Also eligible are the spouse, regardless of age, of eligible individuals; and individuals under 60 years of age with a disability, who reside with an eligible individual.

Congregate Meal Nutrition Services (Title III C 1)

Persons eligible are those individuals age 60 and over and their spouse of any age. In addition, the following individuals are also eligible:

- People with disabilities under age 60 who reside in housing facilities, occupied primarily by older adults where congregate meals are served.
- People with disabilities who reside at home with and accompany a person age 60 and older to a meal site.
- Nutrition Services Program volunteers, under the age of 60, may be offered a meal if doing so will not deprive an adult over the age of 60 a meal.

Congregate Nutrition Services shall be offered at sites located where eligible older adults will feel free to attend. Some factors to consider are accessibility, parking, visibility, public transportation access and colocation with other services and activities.

C. Restaurant Ticket Program

A restaurant ticket program should be used to supplement congregate site NSP. For example, tickets are valid only at times when a congregate site(s) NSP is not operating. All participants receiving restaurant tickets must also receive a schedule of meals and activities at congregate sites in the AAA service area.

All the requirements of the traditional congregate site NSP must still be met. Those include, but are not limited to:

- Provide 33 1/3% of the DRIs and in compliance with the Dietary Guidelines for Americans
- Contributions must be explicitly voluntary and confidential (cannot be advertised as a purchase price)
- Provision of nutrition education either on or off site 4 times a year; explicitly offered to participants
- Promotion of socialization

If a restaurant ticket program is unable to meet the requirements of traditional NSP congregate sites, then OAA Title III C funding shall not be used to support the ticket program.

D. Meal Frequency

Each nutrition services program provider shall serve meals 5 or more days per week – both congregate and home delivered programs. In areas where such frequency is not feasible a lesser frequency must be approved by the SUA.

AAAs shall make a lesser-frequency request as part of their Area Plan submission, using the form in Attachment X (To be developed).

E. Carryout Food from a Congregate NSP

Congregate NSP participants have the option of taking home any part of a meal **served** to them at the NSP site. Meals that haven't been served to a participant are not allowed for carryout. The safety of the food, after it has been served and taken from the site, is the responsibility of the participant. NSP providers and volunteers are encouraged to educate participants on safe food handling practices.

F. Nutrition Screening

Each participant in the OAA NSP must be screened upon application and annually thereafter for nutrition risk using the Nutrition Screening Initiative (NSI) DETERMINE checklist (Attachment X/link to be developed). The screening results should be used for referral to appropriate services and planning for nutrition education programs. Participants receiving HDM Nutrition Program services must also be screened using a prioritization screening tool (Attachment Y/link to be developed). Screening must be done within 30 days of the start date of nutrition services. Reassessment is done on an annual basis thereafter. The results of the prioritization screening shall be used for caseload management, need for nutrition related supportive services and referral as necessary. All screening results are reported to the SUA annually as part of OAA program reporting (NAPIS and Area Plans).

G. Nutrition Education

The Administration for Community Living (ACL) definition of nutrition education is: *a program to promote better health by providing accurate and culturally sensitive nutrition, physical fitness, or health (as it relates to nutrition) information and instruction to participants, caregivers, or participants and caregivers in a group or individual setting overseen by a registered dietitian or individual of comparable expertise.*

Nutrition education shall be provided a minimum of 4 times per year to congregate and HDM NPS participants. Monthly or quarterly nutrition education is encouraged. Nutrition education at congregate NPS sites includes demonstrations, presentations, lectures or small group discussions. Printed materials from credible sources may be used as nutrition education for HDM NPS participants. A registered dietitian must review and approve the content of nutrition education prior to presentation or dissemination.

H. Nutrition Counseling

The ACL definition of nutrition counseling is: *individualized guidance to individuals who are a nutritional risk because of their health or nutrition history, dietary intake, chronic illnesses, or medications use, or to caregivers. Counseling is provided one-on-one by a registered dietitian and addresses the options and methods for improving nutrition status.*

The AAA shall employ or retain the services of a qualified registered dietitian (OAA Sec. 339).

Responsibilities include but are not limited to approval of all menus, staff and volunteer training, nutrition education and nutrition counseling.

I. Registered Dietitian

A registered dietitian is an individual who holds a current registration with the Commission on Dietetic Registration (CDR). Either the RDN or RD credential designations may be used. To verify whether or not someone is a registered dietitian or if they are registration-eligible by the CDR go to <https://www.cdrnet.org/services-employers-dietitians-dietetictechnicians>

J. Voluntary Contributions

Voluntary contributions may be solicited for all services for which funds are received under the OAA NSP. The AAA shall ensure that each OAA NSP Provider must:

- Provide each participant with an opportunity to voluntarily contribute to the cost of the service.
- Clearly inform each participant that there is no obligation to contribute, the contribution is purely voluntary, and meals will be provided regardless of the participant ability to contribute. Providers shall not use leading language that there is a specific price or cost to receive a meal.
- Protect the privacy and confidentiality of each participant with respect for the participant's contribution or lack thereof.
- Provide all participants with information as to the full cost of the meal and suggested donation for a meal.
- Establish appropriate procedures to safeguard and account for all contributions.
- Use all collected contributions to expand the service for which the contribution was given and to supplement, not supplant funds received under the OAA NSP.

K. Waiting List

Whenever an OAA NSP provider is unable to provide meals to all eligible individuals a waiting list shall be established. The order an eligible individual is placed on a waiting list is based on the result of the HDM prioritization screening, date of OAA NSP application, ADL, IADL and NSI scores.

When a waiting list is established the SUA must be notified of the town, OAA NSP provider, number of persons and meals served monthly, number of individuals on waiting list and start date of waiting list. The SUA must then be notified if such waiting list is no longer needed.

L. Complaint Procedure

The AAA shall have a written procedure for individuals to follow in the event there's a concern of unfair treatment by staff or volunteers of the OAA NSP or a complaint about the quality of the meal.

M. Participant Satisfaction

At least once a year the AAA will measure participant satisfaction of the OAA NSP for meal quality and delivery of services. The results shall be shared with the Nutrition Services Program provider and the SUA.

N. Reporting requirements – NSI score, ADLs, IADLs, demographics, poverty

All services provided using OAA Title III C funding shall be reported to the SUA annually via the required reporting system for OAA data. The SUA may at any time during the year request additional data about these services provided by the AAAs, and AAAs shall respond as accurately and timely as possible. More detailed instructions about data reporting shall be provided to AAAs annually; questions may always be directed to the SUA Director. *See Section XIV. Data Systems, Collection and Reporting.*

O. Safety Checks and Emergency Contacts

Upon enrollment in the OAA NSP all HDM participants and their emergency contacts will be provided with a plan that describes what happens in the event that a HDM NSP participant is found ill or injured when a meal is delivered.

The AAA shall have a written plan that describes procedures to follow if a client is ill, injured or cannot be located when a meal is delivered. This plan shall be explained to staff and volunteers.

P. Emergency Situations

The AAA shall have written procedures to follow in the event of weather-related emergencies or situations that may interrupt service or delivery of meals to OAA NSP participants.

Q. OAA Nutrition Program Services Standards (OAA Section 339)

The OAA requires that each meal served in the Nutrition Services Program provide at least 33 1/3 percent of the current Dietary Reference Intakes for adults age 60 and older as established by the Food and Nutrition Board of the National Academy of Sciences -National Research Council and comply with the Dietary Guidelines for Americans. The nutrition standards outlined in this guide are based on these requirements. To the maximum extent that it is practical meals shall be adjusted to meet any special dietary needs of program participants.

The Vermont OAA NPS standards shall be incorporated into each AAA's request for proposals, bid packages and contracts for nutrition program services. AAAs shall submit to the SUA for approval all RFPs, bid packages and contracts paid for with State or Federal Funds.

Dietary Reference Intakes

https://ods.od.nih.gov/Health_Information/Dietary_Reference_Intakes.aspx

The Dietary Reference Intakes (DRIs) are reference values used for planning and assessing diets for healthy people. The DRIs are established by the Food and Nutrition Board of the Institute of Medicine of the National Academies. The DRIs include the Recommended Dietary Allowances (RDAs), Adequate Intakes (AI) and Tolerable Upper Intake Levels (UL). All three components are updated periodically as scientists learn more about the relationship between nutrients and health.

Recommended Dietary Allowances (RDA)

The RDAs are the average daily level of nutrients that meet the needs of nearly all healthy individuals by age and gender group. RDAs are revised every 4 – 5 years to reflect current research about nutrition, health and disease.

Adequate Intake (AI)

Adequate Intake is the recommended intake based on scientific estimates of nutrition intake by a group or groups of healthy people that are assumed to be adequate. They are used when an RDA cannot be determined.

Tolerable Upper Intake Level (UL)

The tolerable upper intake level is the highest level of nutrient intake that is likely to pose no risk of adverse health effects for most individuals in the general population. The ULs were established because of widespread use of fortified foods and dietary supplements. As nutrient intake increases above the UL, the potential risk of adverse effects increases.

Dietary Guidelines for Americans (<https://health.gov/dietaryguidelines/2015/>)

The Dietary Guidelines for Americans (DGAs) help all individuals to eat a healthy, nutritionally adequate diet. They are used to develop policies, programs and nutrition education messages.

The 2015 – 2020 DGAs are:

- Follow a healthy eating pattern across the lifespan
- Focus on variety, nutrient density and amount
- Limit calories from added sugars and saturated fats and reduce sodium intake
- Shift to healthier food and beverage choices
- Support healthy eating patterns for all

Further guidance is provided in this key recommendation:

Consume a healthy eating pattern that accounts for all foods and beverages within an appropriate calorie level.

A healthy eating pattern includes:

- A variety of vegetables from all the subgroups – dark green, red and orange, legumes (beans and peas), starchy and other.
- Fruits, especially whole fruits
- Grains, at least half of which are whole grains
- Fat-free or low-fat dairy, including milk, yogurt, cheese, and/or fortified soy beverages
- A variety of protein foods, including seafood, lean meats and poultry, eggs, legumes (beans and peas), nuts, seeds and soy products
- Oils

A healthy eating pattern limits:

- Saturated fats and trans fats, added sugars and sodium
- Consume less than 10% of calories per day from added sugars
- Consume less than 10% of calories per day from saturated fats
- Consume less than 2,300 milligrams (mg) per day of sodium
- If alcohol is consumed it should be consumed in moderation – up to one drink per day for women and up to two drinks per day for men – and only by adults of legal drinking age.

MyPlate

MyPlate is used to illustrate the five food groups which are the building blocks for healthy eating. The site <https://www.choosemyplate.gov/> has a variety of resources and online tools to help NSP providers and volunteers support healthy eating styles.

R. Menu Planning, Posting and Record Retention

Menus must be planned a minimum of one month in advance and be reviewed and approved by a registered dietitian. Menus may be reviewed and approved using either a meal pattern method or nutrition analysis method. The approved menu shall be posted at each congregate NPS site in a location that is visible to all participating in the meal. HDM NSP participants shall receive or have access to the approved monthly menus. Approved menus with documentation of any menu changes must be kept by the AAA for at least 3 years.

The AAA will develop menu approval forms, monitoring forms and establish nutrition program record keeping schedules – including food and equipment temperature logs.

AAA will conduct an annual on-site kitchen inspection of each OAA NSP provider. Excluded are OAA NSP providers who are inspected by the Vermont Department of Health.

S. Food Safety and Sanitation

Providing nutritious, well balanced meals to older adults is the cornerstone of the OAA Nutrition Program. Of equal importance is ensuring that these meals are safe to eat, free from contamination and delivered at the correct temperature. Many older adults, especially those who have difficulty leaving their home, are particularly vulnerable to bacteria in food. Prevention is the key to keeping food safe. The AAA is responsible for food safety oversight and compliance of OAA NSP providers.

T. Food Donation Standards

Donations of food items may be prepared and served if they are safe and healthy. This includes fresh fruits, fresh vegetables and meat that has been slaughtered in a licensed slaughterhouse.

Foods that cannot be accepted include:

- Leftovers
- Swollen, leaking, rusty, severely dented food containers
- Unpasteurized dairy products
- Spoiled foods
- Home-canned foods of any kind
- Potentially hazardous foods that have not been stored/maintained at a temperature below 41 F or above 135 F
- Food without a label
- Physically or chemically contaminated foods
- Cracked eggs
- Distressed foods damaged by fire, flood or accident
- Road killed deer or game
- Wild game and fish

U. Meal Pattern Requirements

Menu Planning using Dietary Guidelines for Americans

Meal planning to meet OAA NSP standards requires putting foods together in such a way that older adults enjoy a variety of flavorful, nutritious meals. When planning meals consider the season, events, holidays, traditional favorites, budget, food service skills and capacity. The components of each meal are described below. When questions arise about a food contact the AAA for clarification.

The OAA requires that each meal served in the Nutrition Services Program provide at least

33 1/3 percent of the current Dietary Reference Intakes for adults age 60 and older as established by the Food and Nutrition Board of the National Academy of Sciences -National Research Council and comply with the Dietary Guidelines for Americans.

Each meal must:

Provide 3 ounces of protein rich meat, fish, poultry, eggs, cheese, legumes or nuts. For combination food dishes 2.5 ounces of protein must be provided.

Include at least 2 ounces of grains, with 1 ounce being a whole grain

Contain a **total** of 1 ½ cups of vegetable and/or fruit

Offer 8 ounces of fat free, low-fat or reduced fat milk

High sodium meals are to be limited to no more than once a week. When a high sodium meal is served a low sodium option **must** be available. Meals that contain over - 1,200mg must be noted as a high sodium meal on the menu. Any single item with greater than 500 mg of sodium must also be marked on the menu. A meal should contain a between 750 mg – 1,2000 mg of sodium. This requirement is waived for emergency meals, although inclusion of low sodium items is encouraged.

Vitamin A rich foods must be served at least two to three times per week. For OAA NSP providers who serve two meals or less per week or month, one vitamin A rich food must be served at each meal. When serving one meal per day, one good source of Vitamin A or two fair sources of Vitamin A must be used to meet the standard.

One Vitamin C rich food must be served at each meal. When serving one meal per day, one good source of Vitamin C or two fair sources of Vitamin C must be used to meet the standard.

All serving sizes are ½ cup unless otherwise noted.

Good Sources of Vitamin A include:	Fair Sources of Vitamin A include:
Apricots, Kale, Carrots, Cantaloupe, California Mixed Vegetables, Mango, Sweet Potatoes, Collard Greens, Beet Greens, Dandelion Greens, Turnip Greens, Hubbard, Acorn and Butternut Squash,	Broccoli, Chinese Cabbage, Pumpkin, Apricot nectar, Tomato Sauce, Spinach, Swiss Chard

Menu items that include carrot or pumpkin must contain at least 2 tablespoons of carrot/serving or 1 tablespoon pumpkin per serving.

All serving sizes are ½ cup unless otherwise noted.

Good Sources (30 mg/serving) of Vitamin C include:	Fair Sources (15 – 30 mg/serving) of Vitamin C include:
Broccoli, Brussel Sprouts, Cantaloupe, Cauliflower, Clementine, 100% fruit juice, Grapefruit, Green Pepper ¼ cup raw or cooked, Honeydew Melon, Kale, Kiwi, Mandarin Oranges, Mango, Orange,	Asparagus, Cabbage, Coleslaw, Collard Greens, Pineapple, Potato 1 small, Raspberries, Rutabaga, Sauerkraut, Snow Peas, Turnip Greens, Butternut Squash,

Strawberries, Sweet Red Pepper ¼ cup raw or cooked, Sweet Potato 1 small, Yam 1 small, Tangerine, 100% Vegetable Juice cocktail		Tomato/Tomato Juice/Tomato Sauce, Watermelon 1 cup
Meal Component	Minimum # of Servings per Meal	Serving Size Examples
Grains	2	1, 1 oz. slice bread, ½ cup cooked pasta, rice, couscous, noodle, 1 cup ready to eat cereal, ½ regular size hotdog or hamburger bun, 1, 6" tortilla
Fruit and/or Vegetable	3	½ cup fresh, frozen or canned (cooked or raw) ¼ cup dried fruit, 1 cup raw leafy greens, ½ cup 100% fruit or vegetable juice
Milk	1	8 ounces
Protein Foods	1	3-ounce equivalent. 2.5 ounces in combination food dishes
Fats and Oils (optional)	1	1 teaspoon served on side or used in cooking
Dessert (optional)	1	½ cup

Vegetables

1. Whenever possible, use fresh, frozen or unsalted canned vegetables.
2. Serving sizes are generally:
 - ½ cup of fresh, frozen, or canned vegetables, cooked or raw
 - ½ cup mashed vegetables, cooked
 - 1 cup leafy greens
 - ½ cup 100% vegetable juice

Fruits

1. Whenever possible, use fresh, frozen or canned fruit, without added sugar or packed in natural juice.
2. Serving sizes are generally:
 - ½ cup fresh, frozen, or canned fruit, cooked or raw
 - ¼ cup dried fruit
 - ½ cup 100% fruit juice

Grains

1. When selecting whole grain breads and other grain products, read the list of ingredients and look for "whole grain" or "whole wheat" or look for the whole grain stamp
2. Serving sizes are generally:
 - 1 slice (1 oz.) bread
 - 1 cup ready to eat cereal
 - ½ cup cooked cereal
 - ½ cup cooked pasta, rice, noodles, couscous
 - 1 small (2oz.) muffin
 - 1 pancake, 4" diameter

- 1 waffle, 4" - 5" diameter
- ½ English muffin
- 4 – 6 crackers, (1oz.)
- 1 tortilla, 6" diameter
- ¼ cup stuffing
- ½ small bagel
- ½ hotdog or hamburger bun

Milk and Milk Alternatives

Serving size is generally 1 cup (8 fluid oz.)

8 oz. fortified nonfat, low fat, reduced fat, lactose reduced or buttermilk (nonfat or 1% may be flavored)

8 oz. of fat free or low-fat yogurt (with or without fruit) If milk products aren't preferred, a milk alternative may be provided. A milk alternative must contain at least 250 mg calcium per serving and be fortified with vitamin D.

Protein

Protein includes meat, poultry, seafood, eggs, nuts and seeds, beans and peas

Serving size is generally 3 ounces.

One-ounce equivalents include the following:

- 1 ounce cooked lean beef or pork
- 1 ounce cooked chicken or turkey without skin
- 1 ounce cooked fish, shell fish or tuna fish
- 1 egg
- ½ ounce nuts (12 almonds, 24 pistachios, 7 walnut halves)
- ½ ounce seeds
- 1 tablespoon of peanut butter
- ¼ cup cooked beans (black, kidney, pinto or white)
- ¼ cup cooked peas (chickpeas, cowpeas, lentils or split)
- ¼ cup baked beans, refried beans
- ¼ cup tofu
- 1 ounce cooked tempeh
- 2 tablespoons hummus

Fats and Oils

The serving size for fats and oils is generally 1 teaspoon. Limit fat and oils to 2 teaspoons per meal.

Sodium

The Dietary Guidelines for Americans recommend less than 2,300 mg/day

Desserts

Desserts using fruit, whole grains and low fat or low sugar products are encouraged. Desserts can be used to meet requirements for the fruit and vegetable components of the meal plan. When a dessert contains a ½ cup of fruit per serving it may be counted as a fruit serving.

Meal Portion Sizes

Each OAA NSP provider will use standardized portion control procedures to ensure that each offered meal is uniform and meets the meal requirements. Standard portions may be altered to be less than the standard size only at the request of a participant or if a participant declines an item.

Section X. HEALTH PROMOTION AND DISEASE PREVENTION (Title III D)

A. Overview:

Title III-D of the Older Americans Act (OAA) was established in 1987 and provides grants to states and territories for programs that support healthy lifestyles and promote healthy behaviors among older adults age 60 and over.

Evidence-based disease prevention and health promotion programs reduce the need for more costly medical interventions. Priority is given to serving older adults living in medically underserved areas of the state and those who are of greatest economic need.

B. Services:

The OAA definition of Health Promotion and Disease Prevention services is extensive and includes:

1. health risk assessments;
2. routine health screening, which may include hypertension, glaucoma, cholesterol, cancer, vision, hearing, diabetes, bone density, oral health, and nutrition screening;
3. nutritional counseling and educational services for individuals and their primary caregivers;
4. evidence-based health promotion programs, including programs related to the prevention and mitigation of the effects of chronic disease (including osteoporosis, hypertension, obesity, diabetes, and cardiovascular disease), alcohol and substance use reduction, smoking cessation, weight loss and control, stress management, falls prevention, physical activity, and improved nutrition;
5. programs regarding physical fitness, group exercise, and music therapy, art therapy, and dance-movement therapy, including programs for multigenerational participation that are provided by an institution of higher education, a local educational agency, or a community-based organization;
6. home injury control services, including screening of high-risk home environments and provision of educational programs on injury prevention (including fall and fracture prevention) in the home environment;
7. screening for the prevention of depression, coordination of community mental and behavioral health services, provision of educational activities, and referral to psychiatric and psychological services;

8. educational programs on the availability, benefits, and appropriate use of preventive health services covered under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.);
9. medication management screening and education to prevent incorrect medication and adverse drug reactions;
10. information concerning diagnosis, prevention, treatment, and rehabilitation concerning age-related diseases and chronic disabling conditions, including osteoporosis, cardiovascular diseases, diabetes, and Alzheimer's disease and related disorders with neurological and organic brain dysfunction;
11. gerontological counseling; and
12. counseling regarding social services and follow up health services based on any of the services described above.

While a broad range of services, such as those in the definition above, are considered under the umbrella of health promotion and disease prevention, since 2016 the Older Americans Act Title III-D focuses on programs that are based on scientific evidence and have been demonstrated through research and implementation to improve the health outcomes of older adults. For more information about the Administration on Community Living's definition of an evidence-based program and links to programs that meet its highest-tier criteria, visit:

<https://www.acl.gov/programs/health-wellness/disease-prevention>.

Some examples of evidence-based programs that have been implemented in Vermont using OAA III-D funds include:

1. Tai Chi for Arthritis
2. A Matter of Balance
3. HomeMeds - Medication Safety Program
4. Arthritis Foundation Aquatics Program
5. Program to Encourage Active, Rewarding Lives (PEARLS)
6. Powerful Tools for Caregivers

AAAs are required to coordinate III-D services and programs with other community agencies and voluntary organizations providing the same or similar services to ensure a comprehensive and coordinated system. AAAs should also pursue opportunities for the development of intergenerational and shared site models for co-location of programs.

C. Direct Service:

Title III-D programs and services cannot be provided directly by an Area Agency on Aging and must be by contract with other community service providers. Temporary direct service waivers may be requested by the AAA. *See Section XIII. Direct Service Waivers* for details.

D. Funding:

Title III-D funding shall be spent on programs that meet the Administration for Community Living's criteria for evidence-based programs. If a AAA is uncertain if a program meets the criteria, contact the State Unit on Aging.

If a AAA is coordinating a Title III-D program but not directly providing it – for example, recruiting and coordinating volunteers to be trained as Tai Chi instructors – then Title III-D funds shall not be used to pay for AAA staff time to coordinate and administer the program. AAA Admin funds or other non-OAA funds may be used for staff time. However, in this scenario,

Title III-D funding may pay for:

1. Training/certification and related costs (i.e. travel for a trainer, space and materials for a training, etc.)
2. Direct costs of program classes (space, materials, technology, etc.)
3. Outreach/marketing of programming

E. Reporting:

All services provided using OAA Title III-D funding shall be reported to the SUA annually via the required reporting system for OAA data. The SUA may at any time during the year request additional data about these services provided by the AAAs, and AAAs shall respond as accurately and timely as possible. More detailed instructions about data reporting shall be provided to AAAs annually; questions may always be directed to the SUA Director. *See Section XIV. Data Systems, Collection and Reporting.*

OAA Reference: Section 102; Section 361 – 362.

Section XI. NATIONAL FAMILY CAREGIVER SUPPORT PROGRAM

(Title III E)

A. Overview: Family Caregiver Support Services

The National Family Caregiver Support Program (NFCSP), Title III E of the Older Americans Act (OAA) was established in the 2000 reauthorization of the OAA to help families sustain their efforts to care for an older relative who has a chronic illness or disability.

All family caregivers should be recognized and supported for the valuable role they assume in the long-term care system. The NFCSP will provide access to accurate and reliable information, referral, and assistance. Caregivers will be able to choose from a broad array of service options available under the NFCSP. Access to respite care and other supportive services in their community will be available to sustain the caregiver. The desired outcomes of the NFCSP are as follows:

1. Improve quality and availability of information to families and caregivers;
2. Improve ease of access to existing services;
3. Increase options for respite care;
4. Increase availability of support groups, caregiver training and peer support options; and
5. Increase consumer choice.

In providing services under this subpart, priority shall be given to:

1. Family caregivers who provide care for older individuals with Alzheimer's disease and related disorders with neurological brain dysfunction; and
2. For grandparents or older individuals who are relative caregivers, priority shall be given to caregivers who provide care for children with severe disabilities.

AAAs receiving Title III E funding should develop the following considerations for the design of their regional NFCSP:

1. Development of a coordinated infrastructure to provide services to family caregivers;
2. Multiple, flexible services to meet the full range of needs of the caregivers being served;
3. A system that offers both flexibility for caregivers and consistency of access statewide;
4. Leverage funding as seed money for other resources to expand the program;
5. Use funding to enhance existing services and develop new service options;
6. Evaluate and document outcomes;
7. Allow flexibility for innovation;

8. Provide for accountability to the state; and
9. Ensure the availability and consistent quality of services to caregivers throughout the state.

Elements of NFCSP should contain the following considerations:

1. Be driven by the needs and values of the caregiver;
2. Offer consumer choice
3. Be culturally sensitive;
4. Be cost effective;
5. Build upon the strength of families and empower them by providing information;
6. Add to and not supplant existing services and resources through collaboration and coordination;
7. Maintain a *regional network* so the program is accessible in all communities;

B. Allowable Services

The National Family Caregiver Support Program specifies five required categories of service. Each AAA is required to build a system to assure that all five services are available throughout the service region. There are multiple service activities allowable under each of the five NFCSP categories. Examples of such activities in each category are:

1. Information Services: Outreach through Group Activities:

- a) presentation of information to community organizations and groups;
- b) public service announcements;
- c) newspaper articles related to family caregiving;
- d) publicity campaigns;
- e) appearances on radio, TV programs, talk shows;
- f) development of educational programs/curricula;
- g) workshops in senior housing communities; and
- h) providing caregiver information through health fairs, through faith communities, and through other information sharing techniques.

2. Access Assistance: Assistance to Caregivers in Gaining Access to Services (Service to individuals):

- a) provide informal help to caregivers on a one-to-one basis in person, by phone, or other means to help gain access to long term care services for the care recipient;
- b) establish a telephone help line;
- c) provide information and referral services to caregivers;
- d) assist with benefits screening and eligibility assessment;
- e) help caregiver assess needs and problems;
- f) assist in accessing desired services;
- g) develop additional resources;
- h) help caregiver to develop an emergency plan
- i) develop a "library" of multi-media resource materials for caregivers; and

- j) offer other assistance requested by the caregiver.

3. Individual Counseling, Organization of Support Groups, Caregiver Training:

The AAA staff will undertake activities that assist caregivers in the areas of health, nutrition, and financial literacy, and in making decisions and solving problems relating to their caregiver role. Such activities include:

- a) connect caregiver to appropriate support groups;
- b) assist in developing or connecting caregiver to disease specific support groups;
- c) connect caregiver to support groups for grandparents or older relatives raising grandchildren;
- d) connect caregiver to programs on legal issues for grandparents raising grandchildren;
- e) conduct or sponsor caregiver training events for family caregivers on care techniques, wellness, stress reductions, transfer techniques, etc.;
- f) connect caregiver to services for end-of-life issues;
- g) through visits to homebound families, counsel, train, and educate them about available resources;
- h) initiate peer support programs with trained peer counselors;
- i) establish or connect caregiver to workplace support programs; and
- j) sponsor caregiver conferences and other counseling, training and support group services.

4. Respite Care:

- a) provided through adult day care;
- b) coordinating in-home respite care programs with trained companions or aides
- c) coordinating institutional respite for overnight or week-end respite;
- d) providing access to emergency respite care; and
- e) promoting other short-term respite options

5. Supplemental Services:

- a) providing help obtaining caregiving supplies, such as incontinence items, adaptive clothing, personal emergency response units, assistive technology, environmental modifications, et cetera; and
- b) other services or resources identified by the caregiver, such as transportation.

In carrying out the NFCSP, each AAA shall make use of trained volunteers to expand the provision of the available services described and, if possible, work in coordination with organizations that have experience in providing training, placement, and stipends for volunteers or participants (such as organizations carrying out Federal service programs administered by the Corporation for National Community Service) in community service settings.

Self-Directed Care: This is an approach to providing care that is led by the care recipient often involving care provided by an informal caregiver. NFSCP funds may be dispersed to assist the family caregiver arrange and pay for 'Self Directed' care. In accordance with the definition-based on the care recipient and caregiver assessment, the AAA staff will develop a plan together with the care recipient and their family how these services will be planned, budgeted,

and purchased, including steps to ensure the quality of services provided and the appropriate use of funds under the OAA.

C. Title III E NFCSP Funding

1. NFCSP shall supplement and not supplant funds previously applied to support caregivers.
2. The NFCSP requires a 25% non-federal share for both administrative costs and services delivered under the program.
3. The Administration on Community Living (ACL) requires the SUA to limit spending for supplemental services to 10% of NFCSP funding.
4. The AAA shall allocate a minimum of 5% and no more than 10% of Title III-E funds to support grandparents or older relatives raising children.
5. The AAA is allowed no more than 10% of the regional allocation of NFCSP funds for planning and administration activities related to the NFCSP.
6. The OAA and SUA allow AAAs to provide Title III E NFCSP services either through cooperative agreements with community organizations or as direct service.

D. SUA Responsibilities

The SUA has overall responsibility for ensuring the proper expenditure of OAA funds and for the continuing development of the statewide service delivery system that is responsive to family caregivers.

E. AAA Responsibilities

To oversee and support development of the NFCSP Program at the regional level, the AAAs are to ensure continued development of the agency service system in response to the emerging needs of family caregivers and to manage the program and provide support to AAA staff. Each AAA shall employ a Family Caregiver Support Specialist to play an active role in leveraging existing resources, developing partnerships, identifying and responding to caregiver needs, linking caregivers to community resources and services, developing needed community resources, expanding successful services and evaluating the program on an ongoing basis to guide continued development and improvements in the program. The AAA can establish the position using the allocated OAA funds to cover the administrative duties of the advocate and a portion of the NFCSP service funds to cover the activities that aid caregivers directly, or through establishment of needed resources and service partnerships.

F. Partnership Development

The SUA requires the AAA to coordinate their activities with those of other community agencies and voluntary organizations providing services corresponding to those in Section B. above. The AAA shall identify and build upon existing resources and activities within the region and establish memoranda of agreement with those entities that are essential to carrying out the regional NFCSP plan. These interagency agreements should ensure that existing services are accessed first to assure that NFCSP are not supplanting existing resources.

G. Reporting:

All services provided using OAA Title III E funding shall be reported to the SUA annually via the required reporting system for OAA data. The SUA may at any time during the year request additional data about these services provided by the AAAs, and AAAs shall respond as accurately and timely as possible. More detailed instructions about data reporting shall be provided to AAAs annually; questions may always be directed to the SUA Director. *See Section XIV. Data Systems, Collection and Reporting.*

OAA Reference: Section 371-374.

Section XII. ELDER RIGHTS & PROTECTIONS (Title VII)

A. Overview

The Older Americans Act has been amended several times, including in 1992 when Congress approved amendments that created **Title VII: Allotments for Vulnerable Elder Rights Protection Activities**. Title VII brought together the various advocacy programs of the Act into a system of services, programs, and personnel designed to help older persons understand their rights, exercise choice through informed decision-making, and benefit from the support and opportunities promised by law.

Through Title VII, Congress refocused the Older Americans Act's original advocacy mission and empowered state agencies on aging to "provide firm leadership...to assure that the rights of older individuals...[are] protected." Congress also recognized that while conditions for older people have improved markedly since 1965, there are many vulnerable older people who suffer serious deprivation, are denied their basic rights and benefits, and need vigorous advocacy on their behalf. Title VII encourages state agencies to concentrate advocacy efforts on issues affecting those who are the most socially and economically vulnerable.

Title VII brings together and strengthens three advocacy programs:

- Elder Abuse, Neglect and Exploitation Prevention Program
- Long-Term Care Ombudsman Program
- State Legal Assistance Development Program

In addition, Title VII calls on State Agencies to take a holistic approach to elder rights advocacy by coordinating the three programs and fostering collaboration among programs and other advocates in each state to address - at a systems level - issues of the highest priority for the most vulnerable elders.

B. Programs and Services:

1. Elder Abuse, Neglect and Exploitation Prevention Program

The goal of the Elder Abuse, Neglect and Exploitation Prevention Program is to develop and strengthen prevention efforts at the State and local level. Vermont's Title VII funding is distributed to the AAAs.

Services that can be coordinated by AAAs using Title VII funding include:

- a) Public education and outreach to identify and prevent elder abuse, neglect and exploitation
- b) Public education and outreach to promote financial literacy and prevent identify theft and financial exploitation of older individuals
- c) Ensuring coordination of services provided by AAAs, APS, State and local law enforcement systems and courts of competent jurisdiction
- d) Conducting training for individuals, including family caregivers, professionals, and paraprofessionals, in relevant fields, on the identification, prevention and treatment of elder abuse, neglect and exploitation with particular focus on prevention and enhancement of self-determination and autonomy
- e) Supporting multidisciplinary elder justice activities, such as team approaches, coordinating councils, group trainings, review teams, etc.
- f) Addressing underserved populations of older individuals, such as minority populations.

See OAA Section 721 for more detail.

2. Long-Term Care Ombudsman Program

Every State has an Office of the Long-Term Care Ombudsman under which dedicated advocates assist residents living in nursing homes, assisted living facilities and other residential settings to voice concerns, secure their rights, and correct conditions affecting their care.

In Vermont the State Unit on Aging maintains a grant with Vermont Legal Aid, Inc. to manage the Long-Term Care Ombudsman Program. Vermont's program also serves older Vermonters who live at home and receive long-term care services and supports through the Choices for Care Program.

For more about the Ombudsman program, see *Section XVI. OAA Related Grants and Programs*.

3. State Legal Assistance Development Program

The State Legal Assistance Development Program is another essential element in protecting elder rights under Title VII of the Older Americans Act. Legal Assistance Developers at the state level coordinate these legal assistance services and work to increase the availability of legal

representation and advice to older adults throughout the state, especially those in the greatest social or economic need.

The target population for legal assistance are those in greatest economic and social need. The priority legal matters are those related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect, and age discrimination.

AAAs are required to do outreach to ensure that older Vermonters are aware of the legal assistance available to them.

The Legal Assistance Guidelines for the State of Vermont (developed July 2018) provide further instruction to the legal services provider for meeting the OAA requirements for legal assistance.

C. Funding:

1. **Elder Abuse, Neglect and Exploitation Prevention Program:** Vermont's OAA Title VII funding for Elder Abuse, Neglect and Exploitation Prevention is distributed to the AAAs using the Intrastate Funding Formula. Funding is designated for the activities above.
2. **Long-Term Care Ombudsman Program:** Vermont funds the Long-term Care Ombudsman Program through a combination of funding including OAA Title III-B Supportive Services funding.
3. **State Legal Assistance Development Program:** Vermont's State Legal Assistance Developer is a staff attorney at DAIL. The Developer's work is supported by a combination of funding sources. Legal Services under the OAA are funded in part by a contract between the AAAs and Vermont Legal Aid. AAAs are required to allocate at least 5% of their Title III-B funds for legal assistance services.

OAA Reference: Sections 305, 307, 712, 721, 731.

Section XIII. DIRECT SERVICE WAIVERS FOR OAA SERVICES

A. Overview

In the creation of the Area Agencies on Aging (AAAs), the Older Americans Act (OAA) designed these agencies to be primarily responsible for planning and coordination of services for older Americans within designated geographic areas of each state. *See Section IV – Role of AAA.* AAAs are generally not direct service providers, but rather contract and coordinate with local providers through cooperative agreements for such direct service provision.

The OAA allows for some exceptions to this rule.

B. Allowable versus Not Allowable Direct Service

1. AAA direct service provision is allowable for:

The following Title III-B programs and services:

- a) Case management
- b) Information and assistance
- c) Outreach

All Title III-E National Family Caregiver Support Program services:

- a) Caregiver counseling
- b) Caregiver respite
- c) Supplemental services
- d) Information services
- e) Access assistance

Programs and services that are not funded with OAA funds.

2. AAA direct service provision is not allowable, unless granted a waiver, for the following OAA Title III-B, III-C and III-D programs and services:

- a) In-home services, including personal care, homemaker, chore, and other in-home services
- b) Adult day services
- c) Transportation and assisted transportation
- d) Legal assistance
- e) Any other services provided through Title III-B (except those named above: case management, information and assistance, and outreach).
- f) Congregate meals

- g) Home delivered meals
- h) Nutrition education
- i) Nutrition counseling
- j) Health promotion and disease prevention services, including evidence-based programs

C. Requesting a Waiver

The State Unit on Aging has the authority to grant a waiver for a AAA to provide the above services temporarily if it determines that, per OAA rules, the direct provision of services is:

1. Necessary to assure an adequate supply,
2. The service directly relates to the AAA's administrative functions, or
3. The service can be provided more economically and with comparable quality by the AAA.

The State Unit on Aging does not grant direct service waivers indefinitely without justification. By definition, waivers are designed to be temporary, and AAAs are obligated to seek alternative local providers and provide ongoing justification for continuing direct service.

D. Waiver Request Form

If requesting a waiver, the AAA must submit the Direct Service Waiver Request Form as part of the Area Plan or Area Plan Update.

A separate form for each service requested must be submitted.

Please see Attachment B for a copy of the Direct Service Waiver Request Form.

E. Public Input

AAAs are also required to seek public input as part of the waiver request process. This may be done as part of the Area Plan public input process or separately. Documentation describing the public input process, timeline and outcomes must be included with the waiver request form.

If AAAs have questions about waivers and if one is needed for a particular program or service, contact the State Unit on Aging.

OAA Reference: Section 307(a)(8) and §1321.63.

Section XIV. DATA SYSTEMS, COLLECTION AND REPORTING

A. Overview

The Administration on Community Living (ACL) administers the OAA programs at the national level including collection and analysis of data from states and reporting of that data to Congress. States are required to compile OAA data reports and explanations from AAAs and then review, analyze and report aggregate state data and variance explanations to ACL in the required format and according to ACL's instructions and timeline. Area Agencies on Aging (AAA) are required to submit OAA data, reports and variance explanations to the State Unit on Aging (SUA) in the required format and according to the SUA's instructions and timeline.

B. State Unit on Aging Responsibilities

The SUA's responsibility is to follow the guidance provided by ACL and provide AAAs with guidance for OAA data reporting. Detailed guidance is provided to all AAAs in advance of the OAA reporting season.

The SUA shall provide technical assistance to AAAs regarding service definitions, how to report service units, and other reporting related questions. Technical questions related to the reporting database should be directed to the database vendor.

The SUA must compile, review and analyze AAA reports, work with AAAs to make any needed revisions, submit the State Program Report to ACL, including variance explanations, and respond to any additional requests from ACL regarding the data.

C. Area Agency on Aging Responsibilities

1. Data Systems

DAIL does not mandate that AAAs use a specific database for the collection of OAA required data. AAAs have the flexibility to use a database system of their choice for OAA programs and services.

Regardless of the database system chosen by a AAA, all AAAs must be able to submit accurate and timely data directly into the online portal provided by ACL during the annual OAA reporting period.

2. Data Collection

AAAs must work with their contractors and community partners to ensure accurate and timely collection of data required by the OAA, including demographic and profile data, service data and revenue and expenditure data.

AAAs must do due diligence with contractors and community partners in gathering as much of the required data from OAA participants as possible so as to minimize missing data.

AAAs must run quarterly reports of OAA demographic and profile data to review missing data or data errors and adjust methods or procedures for data collection to maximize the accurate and timely collection of required data.

3. Data Reporting

AAAs must submit required OAA data reports and explanations to the SUA both accurately and timely according to the reporting instructions sent to all AAAs in advance of the reporting season.

Failure to provide this data accurately and timely may result in a delay in OAA funding to a AAA.

The SUA may respond with additional data requests and questions requiring further explanation. AAAs must respond timely and accurately to all follow up requests.

4. Data Integrity

AAAs must monitor their own data collection and reporting efforts continuously to identify and remedy program and service areas where data integrity may be an issue, including identifying and working to remedy missing data and inaccurate data. AAAs must ensure staff are trained in quality data collection and data management as needed, and have procedures in place to track progress on data integrity at the program and organizational level.

OAA Reference: Section 202.

See also [OAA Service Definitions for State Program Reporting](#) (pages 21-26).

Section XV. Assurances

The Administration for Community Living (ACL) requires that the State of Vermont and its Area Agency on Aging partners, sign written agreements that commits both parties to specific ground rules and activities within Title III (Grants for State and Community Programs on Aging) and Title VII (Vulnerable Elder Rights Protection Activities) of the [Older American's Act](#) (OAA). Assurances are a very important part of managing OAA services and the designation of Vermont's Area Agencies on Aging.

OAA Assurances are located within the following sections of the Act.

- **Title III, Sec. 305**: Organization
- **Title III, Sec. 306**: Area Plans
- **Title III, Sec. 307**: State Plans
- **Title III, Sec. 308**: Planning, Coordination, Evaluation, and Administration of State Plans
- **Title VII, Sec. 705**: Additional State Plan Requirements

A signed set of Assurances must be attached to the [Vermont State Plan on Aging](#) and the Area Agency on Aging [Area Plan](#) documents.

Technical assistance regarding the required Assurances can be found on the ACL [Program Instructions web page](#) or by contacting the director of the State Unit on Aging.

See Attachment B – OAA Assurances.

Section XVI. OAA-Related Federal Programs

In addition to the Older American's act programs, the State receives federal funding and contributes State General Funds, for other programs related to the Older American's Act. These programs are managed through written State Grant Agreements that describe the work to be performed by the Grantee, performance measures and payment provisions. This section describes those programs.

Federally Funded OAA-Related Programs Description

1. Long-Term Care Ombudsman

Description: The Vermont State Long-Term Care (LTC) Ombudsman project protects the health, welfare and rights of people who live in long-term care facilities including nursing homes, residential care homes and assisted living residences, as required by [federal law](#) and [Vermont Title 33, chapter 75](#). The LTC Ombudsman also helps Vermonters who receive long-term services and supports in their homes through the Choices for Care (CFC) program. The LTC Ombudsman helps to resolve individual complaints, educate people about their rights, and advocates for administrative and legislative changes that protect consumer rights and allow older Vermonters to make decisions about where and how they will live.

Vermont Legal Aid is the designated State Long-Term Care Ombudsman for the state of Vermont.

Funding: The Vermont State LTC Ombudsman Project is primarily funded through Title IIIB and Title VII of the federal Older American's Act (CFDA#93.044, #93.042 and #93.778). The state of Vermont supplements the funding with State General Funds (GF) for the purpose of expanding services beyond what is federally required, to the Vermont Choices for Care community-based settings. The State Unit on Aging manages this Grant Agreement on behalf of the State. (See Section VIII and Section XII of this manual for a description of [Title IIIB and Title VII](#) funding.)

Website: <https://acl.gov/programs/protecting-rights-and-preventing-abuse/long-term-care-ombudsman-program>

Access to Services: Individuals may contact the [Vermont State LTC Ombudsman Project](#) directly at 1-800-889-2047.

2. Medicare Improvements for Patients and Providers Act (MIPPA)

Description: The Medicare Improvements for Patients and Providers Act (MIPPA) of 2008 is a multifaceted piece of legislation related to Medicare. An important provision of MIPPA is the allocation of federal funding to help low-income Medicare beneficiaries understand the resources available for paying for prescription drugs and other health insurance costs. In Vermont, the Vermont Association for Area Agencies on Aging (V4A) manages the MIPPA program in collaboration with the SHIP program.

Funding: MIPPA is 100% federally funded through the Administration on Community Living (ACL). The funding is managed through a State Grant Agreement between the Department of Disabilities, Aging & Independent Living (DAIL) and the Vermont Association of Area Agencies on Aging (V4A). The agreement describes the required activities, outcomes and payment provisions. The Adult Services Division, State Unit on Aging manages this Grant Agreement on behalf of the State.

Access to Services: Vermonters call the Helpline (1-800-642-5119) to access free MIPPA services in their area of the state.

3. Senior Community Services Employment Program (SCSEP)

Description: Created in 1965, SCSEP is the nation's oldest program to help low-income, unemployed individuals aged 55+ find work. SCSEP matches eligible older adults with part-time jobs for community service organizations. Participants build skills and self-confidence, while earning a modest income. For most, their SCSEP experience leads to permanent employment. In Vermont, SCSEP is managed by the Vermont Associates in Training and Development.

Funding: SCSEP is 100% federally funded through the Department of Labor. The funding is managed through a State Grant Agreement between the Department of Disabilities, Aging & Independent Living (DAIL) and Vermont Associates in Training and Development. The agreement describes the required activities, outcomes and payment provisions. The Division of Vocational Rehabilitation manages this Grant Agreement on behalf of the State.

Website: <https://www.ncoa.org/economic-security/matureworkers/scsep/#intraPageNav0>

Access to Services: Vermonters call the [Vermont Associates in Training and Development](https://acl.gov/programs/connecting-people-services/state-health-insurance-assistance-program-ship) at (802) 524-3200.

4. State Health Insurance Assistance Program (SHIP)

Description: The federal Administration for Community Living (ACL) provides funding to states to manage and coordinate program operations and activities for the federal State Health Insurance Assistance Program (SHIP). SHIP is managed in coordination with the MIPPA program.

The goals of the SHIP is to provide health insurance information, counseling and assistance to Medicare eligible Vermonters by providing the following services:

- Information and counseling in filing appeals for Medicaid and Medicare beneficiaries;
- Policy comparison information for Medicare supplemental policies;
- Information regarding long-term care insurance;
- Conduct outreach program to provide health insurance information and counseling to eligible individuals;
- Refer eligible individuals to appropriate agencies for assistance with problems related to health insurance coverage.

Funding: SHIP is 100% federally funded through the Administration on Community Living (ACL). The funding is managed through a State Grant Agreement between the Department of Disabilities, Aging & Independent Living (DAIL) and the Vermont Association of Are Agencies on Aging. The agreement describes the required activities, outcomes and reimbursement methodology. The Adult Services Division, State Unit on Aging manages the Grant Agreement on behalf of the State.

Website: <https://acl.gov/programs/connecting-people-services/state-health-insurance-assistance-program-ship>

Access to Services: Vermonters call the Helpline (1-800-642-5119) to access free SHIP services in their area of the state.

5. ACL Discretionary Grants

Periodically Vermont applies for and receives federal funding from ACL for discretionary programs or projects. As of 2019, the only discretionary grant managed by DAIL is to support legal services in the state through Vermont Legal Aid.

Vermont Older American's Act Policy and Operations Manual – Attachment A

Map of Vermont Area Agencies on Aging

Northeast Kingdom Council on Aging

Service Area: Caledonia, Essex & Orleans Counties

(802) 748-5182

www.nekcouncil.org

481 Summer Street, Suite 101

St. Johnsbury, VT 05819

Age Well

Service Area: Addison, Chittenden, Franklin & Grand Isle Counties (Except for towns of Granville and Hancock)

(802) 865-0360

www.agewellvt.org

76 Pearl Street, Suite 201

Essex Junction, VT 05452

Southwestern Vermont Council on Aging

Service Area: Bennington & Rutland Counties (Except for towns of Pittsfield, Winhall, Readsboro, Searsburg)

www.svcoa.org

Rutland office:

143 Maple Street

Rutland, VT 05701

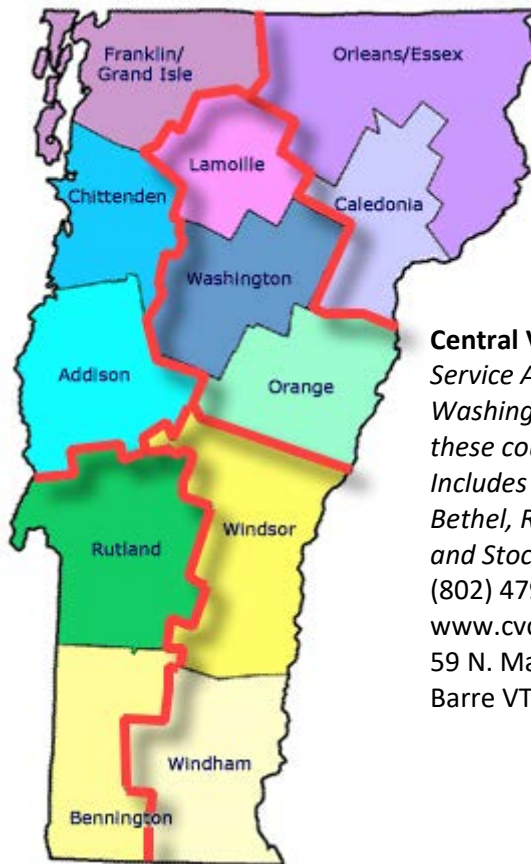
(802) 786-5990

Bennington office:

160 Benmont Avenue, Suite 90

Bennington, VT 05201

(802) 442-5436



Central Vermont Council on Aging

Service Area: Lamoille, Orange, & Washington Counties (For all towns in these counties except Thetford.

Includes Granville, Hancock, Pittsfield, Bethel, Rochester, Royalton, Sharon and Stockbridge)

(802) 479-0531

www.cvcoa.org

59 N. Main Street, Suite 200

Barre VT 05641-4121

Senior Solutions (Council on Aging for Southeastern VT)

Service Area: Windham & Windsor Counties (Except for towns of Bethel, Rochester, Royalton, Sharon, Stockbridge. Includes towns of Searsburg, Readsboro, Thetford and Winhall)

(802) 885-2655

www.seniorsolutionsvt.org

38 Pleasant Street

Springfield, VT 05156

REQUEST FORM FOR A DIRECT SERVICE WAIVER

Direct Provision of Services by the Area Agency on Aging
Per OAA Section 307(a)(8) and §1321.63

[Insert Name of Agency] requests approval of the State Unit on Aging for direct provision of the following service for Federal Fiscal Years [insert years].

Service: Service Area: (please clearly state if the service is for the entire AAA service area or for a certain geography within the service area)

Documentation of activities and results of such activities the AAA undertook to seek potential local providers to justify direct provision of service by AAA – **please be comprehensive and specific:**

Documentation of public input process as part of waiver request, including:

- Time period public input was solicited
- Locations where public input was solicited
- How (methods) public input was solicited and
- Results and outcomes of public input process

Please be comprehensive and specific:

Plan of action to build local provider capacity to provide direct service in the future - **please be comprehensive and specific:**

This direct service waiver is approved by: _____ for the following
time period: _____ Today's Date: _____

**Older Americans Act Assurances for Vermont Area Agency on Aging
Updated October 2017; Included in FFY19-22 Area Plans**

The Older Americans Act requires that to be approved by the State Agency, Area Agencies must make certain assurances. Below is a listing of the most current information provided by the Administration on Aging identifying new or amended assurances and information requirements which must be addressed in all area plans. Also included are the assurances and information requirements detailed in previous Administration on Aging guidance.

Development of a Comprehensive, Coordinated, Client-Centered System

1. ((306(a)(1)) The plan shall provide, through a comprehensive and coordinated system, supportive services, nutrition services and, where appropriate, the establishment, maintenance or construction of multipurpose senior centers, including determining the extent of need for supportive services, nutrition services and multipurpose senior centers.
2. ((306(a)(1)) Among other things, the plan will take into consideration the number of older individuals with low incomes residing in the planning and service area, the number of older individuals with low-incomes, the number of older individuals who have greatest economic need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas) and greatest social need (with particular attention to low-income older individuals, including low-income minority older individuals, older individuals with limited English proficiency, and older individuals residing in rural areas), residing in the planning and service area, the number of individuals at risk for institutional placement residing in such area, and the number of older individuals who are Indians (Native Americans) residing in the area. The plan will also take into consideration the efforts of voluntary organizations in the community.
3. ((306(a)(1)) The plan shall include a method and plans for evaluating the effectiveness of the use of resources in meeting these needs.
4. ((306(a)(3)) The plan shall designate, where feasible, a focal point for comprehensive service delivery in each community, giving special consideration to designating multipurpose senior centers as such focal point and specify, in grants, contracts, and agreements implementing the plan, the identity of each designated focal point.
5. ((306(a)(5)) The Area Agency will coordinate planning, identification, assessment of needs, and provision of services for older individuals with disabilities, with particular

attention to individuals with severe disabilities, and individuals at risk for institutional placement with agencies that develop or provide services for individuals with disabilities.

6. ((306(a)(6)(B)) The Area Agency will serve as the advocate and focal point for the elderly within the community by monitoring, evaluating and commenting upon all policies, programs, hearings, levies and community actions which will affect the elderly.
7. ((306(a)(6)(C)(i)) Where possible, the area agency on aging will enter into agreements 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.
8. ((306(a)(6)(C)(ii)) The Area Agency will, if possible, regarding the provision of services under Title III, enter into arrangements and coordinate with organizations that have a proven record of providing services to older individuals, that 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 came into existence during fiscal 1982 as direct successors in interest to such community action agencies or community action programs; and that meet the requirement under section 675(c)(3) of the Community Services Block Grant Act (42 U.S.C. 9904 (c)(3)).
9. ((306(a)(6)(C)(iii)) The Area Agency will make use of trained volunteers in providing direct services delivered to older individuals and individuals with disabilities needing such services and, if possible, work in coordination with organizations that have experience in providing training, placement and stipends for volunteers or participants (such as organizations carrying out Federal service programs administered by the Corporation for National and Community Service) in community service settings.
10. ((306(a)(6)(E)) The Area Agency will establish effective and efficient 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 under this title and the following programs:
 - a. the Job Training Partnership Act,
 - b. Title II of the Domestic Volunteer Service Act of 1973,
 - c. Titles XVI, XVIII, XIX, and XX of the Social Security Act,
 - d. Sections 231 and 232 of the National Housing Act,
 - e. the United States Housing Act of 1937,
 - f. Section 202 of the Housing Act of 1959,
 - g. Title I of the Housing and Community Development Act of 1974,
 - h. Title I of the Higher Education Act of 1965 and the Adult Education Act,
 - i. Sections 3, 9, and 16 of the Urban Mass Transportation Act of 1964,
 - j. the Public Health Service Act, including block grants under Title XIX of such Act,

- k. the Low-Income Home Energy Assistance Act of 1981,
 - l. part A of the Energy Conservation in Existing Buildings Act of 1976 relating to weatherization assistance for low income persons,
 - m. the Community Services Block Grant Act,
 - n. demographic statistics and analysis programs conducted by the Bureau of the Census under title 13, U.S. Code,
 - o. parts II and III of Title 38, U.S. Code,
 - p. the Rehabilitation Act of 1973,
 - q. the Developmental Disabilities and Bill of Rights Act,
 - r. the Edward Byrne Memorial State and Local Law Enforcement Assistance Programs, established under part E of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. 3750-3766b).
11. ((306(a)(6)(F)) In coordination with the State agency and the State agency responsible for mental health services, the Area Agency will increase public awareness of mental health disorders, remove barriers to diagnosis and treatment, and coordinate mental health services (including mental health screenings) provided with funds expended by the area agency on aging with mental health services provided by community health centers and by other public agencies and nonprofit private organizations.
12. ((306(a)(7)) The Area Agency will conduct efforts to facilitate the area –wide development and implementation of a comprehensive, coordinated system for providing long-term care in home and community-based settings, in a manner responsive to the needs and preferences of older individuals and their family caregivers by -
- a. Collaborating, coordinating activities, and consulting with other local public and private agencies and organizations responsible for administering programs, benefits, and services related to providing long-term care;
 - b. Conducting analyses and making recommendations with respect to strategies for modifying the local system of long term care to better-
 - i. Respond to the needs and preferences of older individuals and family caregivers;
 - ii. Facilitate the provision, by service providers, of long-term care in home and community-based settings; and
 - iii. Target services to older individuals at risk for institutional placement, to permit such individuals to remain in home and community-based settings.
13. ((306(a)(7)(C)) The Area Agency will implement, through the agency or service providers, evidence-based programs to assist older individuals and their family caregivers in learning about behavioral changes intended to reduce the risk of injury, disease, and disability among older individuals.
14. ((306(a)(7)(D)) The Area Agency shall provide for the availability and distribution (through public educations campaigns, Aging and Disability Resource Centers, the area agency on aging itself, and other appropriate means) of information relating to the need to plan in advance for long-term care and the full range of available public and private

long-term care (including integrated long-term care) programs, options, service providers and resources.

15. ((306(a)(8)) The Area Agency assures that case management services provided under this title through the Area Agency will:
 - a. not duplicate case management services provided through other Federal and State programs;
 - b. be coordinated with case management services provided through other Federal and State programs; 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;
 - 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 receipts 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).

Public Input

1. ((306(a)(6)(A)) The Area Agency will 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.
2. ((306(a)(6)(D)) The Area Agency will 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, family caregivers of such individuals, representatives of older individuals, service providers, representatives of the business community, local elected officials, providers of veterans' health care (if appropriate) and the general public to advise continuously the Area Agency on all matters relating to the development of the area plan, the administration of the plan and operations conducted under the plan.

Preference to Those in Greatest Economic or Social Need

1. ((306(a)(2)(B)) The area agency on aging will provide assurances that it will -
 - a. Expend at least 65% of part B funds for Access to Services, 1% of Part B funds for In-home Services and 5% of Part B funds for Legal Assistance.

2. ((306(a)(4)(A)(i)) The area agency on aging will provide assurances that it will –
 - a. Set specific objectives, consistent with State policy for providing services to older individuals with greatest economic need, older individuals with greatest social need, and older individuals at risk for institutional placement.
 - b. Include specific objectives for providing services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas; and
 - c. Include proposed methods to achieve the objectives described in items a and b above.
 - d. The area agency on aging will assure that it will include in each agreement with a provider of any service under this title a requirement that the provider will –
 - i. Specify how the provider intends to satisfy the service needs of low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas served by the provider;
 - ii. To the maximum extent feasible, provide services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas in accordance with the need for such services; and
 - iii. Meet specific objectives established by the area agency on aging, for providing services to low-income minority individuals, older individuals with limited English proficiency, and older individuals residing in rural areas within the planning and service area.
3. ((306(a)(4)(A)(iii)) With respect to the fiscal year preceding the fiscal year for which such plan is prepared, the Area Agency shall:
 - a. identify the number of low-income minority older individuals and older individuals residing in rural areas in the planning and 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 met the objectives described in clause (306(a)(4)(A)(i)).
4. ((306(a)(4)(B)) The area agency will assure that it will use outreach efforts that will-
 - a. identify individuals eligible for assistance under the Act, with special emphasis on older individuals residing in rural areas; older individuals with greatest economic need (with particular attention to low-income minority individuals and older individuals residing in rural areas); older individuals with greatest social need (with particular attention to low-income minority individuals and older individuals residing in rural areas); older individuals with severe disabilities; older individuals with limited English proficiency; older individuals with Alzheimer's disease or related disorders (and the caretakers of such individuals); and older individuals at risk for institutional placement; and
 - b. inform the older individuals listed in a. above and the caretakers of such individuals , of the availability of assistance.

5. ((306(a)(4)(C)) The Area Agency shall 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.
6. ((306(a)(11)) The Area Agency shall provide information and assurances concerning older Native Americans, including: 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 will pursue activities, including outreach, to increase access to those older Native Americans to programs and benefits provided under this title;
 - a. an assurance that the Area Agency will, to the maximum extent practicable, coordinate the services the agency provides under this title with services provided under title VI; and
 - b. an assurance that the Area Agency 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.

Agreements with Service Providers

1. ((306(A)(1)) The plan shall include a method and plans for entering into agreements with providers of services for the provision of services to meet needs.
2. ((307(a)(11)) The Area Agency on Aging will--
 - a. enter into contracts with providers of legal assistance which can demonstrate the experience or capacity to deliver legal assistance.
 - b. include in any such contract provisions to assure that any recipient of funds under section a (immediately above) will be subject to specific restrictions and regulations promulgated under the Legal Services Corporation Act (other than restrictions and regulations governing eligibility for legal assistance under such Act and governing membership of local governing boards) as determined appropriate by the Assistant Secretary; and
 - c. attempt to involve the private bar in legal assistance activities authorized under Title III, including groups within the private bar furnishing services to older individuals on a pro bono and reduced fee basis.
3. ((307(a)(11)(B)) The Area Agency on Aging will assure that no legal assistance will be furnished unless the grantee administers a program designed to provide legal assistance to older individuals with social or economic need and has agreed, if the grantee is not a Legal Services Corporation project grantee, to coordinate its services with existing LSC projects in the planning and service area in order to concentrate the use of funds provided under Title III on individuals with greatest such need; and the Area Agency on Aging makes a finding, after

assessment, pursuant to standards for service promulgated by the Assistant Secretary, that any grantee selected is the entity best able to provide the particular services.

4. ((307(a)(11)(D)) The Area Agency on Aging will assure, to the extent practicable, that legal assistance furnished under the plan will be in addition to any legal assistance for older individuals being furnished with funds from other sources other than the OAA and that reasonable efforts will be made to maintain existing levels of legal assistance for older individuals.
5. ((307(a)(11)(E)) The Area Agency on Aging will give priority to legal assistance related to income, health care, long-term care, nutrition, housing, utilities, protective services, defense of guardianship, abuse, neglect and age discrimination.

Provision of Services

1. ((306(a)(2)) The plan shall provide assurances that an adequate proportion, as required under section 307(a)(2) of the Older Americans Act, 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 –
 - a. services associated with access to services (transportation, health services (including mental health services), outreach, information and assistance, (which may include information and assistance to consumers on availability of services under part B and how to receive benefits under and participate in publicly supported programs for which the consumer may be eligible) and case management services);
 - b. 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
 - c. legal assistance; and assurances that the area agency on aging will report annually to the State in detail the amount of funds expended for each such category during the fiscal year most recently concluded.
2. ((306(a)(13)(A)) The Area Agency will maintain the integrity and public purpose of services provided, and service providers, under this title in all contractual and commercial relationships.
3. ((306(a)(13)(B)) The Area Agency will disclose to the Assistant Secretary and the State agency --
 - a. the identity of each non-governmental entity with which it has a contract or commercial relationship relating to providing any service to older individuals; and
 - b. the nature of the contract or relationship.

4. ((306(a)(13)(C)) The Area Agency will 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 non-governmental contracts or commercial relationships.
5. ((306(a)(13)(D)) The Area Agency will 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 non-governmental contracts or commercial relationships.
6. ((306(a)(13)(E)) The Area Agency will, 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.
7. ((306(a)(14)) The Area Agency assures that preference in receiving Title III services will not be given to particular older individuals as a result of a contract or commercial relationship that is not carried out to implement Title III.
8. ((306(a)(15)) The Area Agency on Aging assures that funds received under Title III will be used to provide benefits and services to older individuals, giving priority to older individuals identified in section 306(a)(4)(A)(i); and, in compliance with the assurances specified in section 306 (a)(13).
9. ((306(a)(16)) The Area Agency on Aging agrees to provide, to the extent feasible, for the furnishing of services under this Act, consistent with self-directed care.
10. ((306(a)(17)) The Area Agency on Aging shall 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.

Department of Disabilities, Aging and Independent Living (DAIL) Requirements:

1. The Area Agency on Aging (AAA) shall:
 - a. assure that all services and service options are fully explained to applicants/participants/representatives;
 - b. assure that all applicants/participants/representatives are provided with a copy of the AAA's consumer grievance procedures and are provided with assistance as necessary to understand and follow the established procedures.

- c. assist applicants/participants to obtain necessary services;
 - d. involve applicants/participants in the planning of their services;
 - e. coordinate services provided by the AAA with other related services provided to the participant by other agencies or individuals;
 - f. assure that the AAA's services meet the individual needs of each participant, including changes in services as needs change.
2. The AAA shall assure that all services provided under this area plan will be coordinated with other home and community based services and providers in the AAA's service area to avoid duplication, maximize existing resources and ensure optimum coordination of services for individual clients. "Home and community based services and providers" include, but are not limited to, hospital discharge planning, nursing homes, residential care homes, home health agencies, adult day services, services of the Vermont Center for Independent Living, services funded through Part B of the Rehabilitation Act, the Office of Public Guardians, and activities conducted through community resource teams or adult abuse teams.
 3. The AAA shall assure that all Case Management services provided under this area plan will comply with the Department of Disabilities, Aging and Independent Living [Case Management Standards & Certification Procedures For Older Americans Act Programs & Choices for Care, Revised January 2017.](#)
 4. The AAA shall assure that at a minimum, the Nutrition Screening Instrument: DETERMINE Your Nutritional Health Checklist, shall be used to screen all clients receiving home delivered meals; case management clients, congregate meal participants and for other individuals who may benefit from such counseling. The AAA shall build capacity to use the Nutrition Program Prioritization Tool with all home delivered meal clients in conjunction with the NSI screening.
 5. The AAA shall assure that it will develop and maintain, in collaboration with DAIL, quality assurance and improvement processes which will allow the AAA and DAIL to monitor the quality of services provided by the Agency.
 6. The AAA will assist in developing a stronger home and community-based system of care for older Vermonters and persons with disabilities by providing them with a choice of supportive services that address their long-term care needs and will allow them to remain independent and avoid or delay the need for nursing home admission.
 7. The AAA shall administer state general funds Long Term Care Flexible Funds Special Services Funds and give priority to older Vermonters and persons with disabilities in greatest economic and social need. Flexible Funds may be used for a variety of good and services to assist Vermonters to be able to maintain their independence and live in the setting of their choice. These funds may only be used when there are no other funds available to pay for

services. The AAA will utilize the funding to serve residents of the entire Area Agency on Aging planning and service area.

8. The AAA shall assure for all services provided under this plan that the DAIL Background Check policy will be followed.
9. The AAA shall assure that third party referrals will be accepted and followed-up upon.
10. The AAA shall assure responsibility for accepting and responding to third party referrals concerning individuals with self-neglecting behaviors who are 60 years of age or older.
11. The AAA shall assure that FFY 2018 funds to strengthen the volunteer base will be utilized for at least one evidenced-based falls prevention program.

General Administration

1. Compliance with Requirements. The Area Agency on Aging agrees to administer the program in accordance with the Act, the State Plan and all applicable regulations, policies and procedures established by the Department of Disabilities, Aging & Independent Living and federal agencies. This includes compliance with the State of Vermont Customary State Grant Provisions. (Please note section below.)
2. Data Entry Requirements. Notwithstanding the due dates listed in #3 below, the Area Agency on Aging agrees to complete data entry into the SAMS data base within 60 days of the end of each month. AAAs that do not complete the required data entry within the required time frame will be subject to 1/24 funding until the AAA is within the 60 day time frame. An AAA may request a variance to the 60-day data entry requirement if there are circumstances beyond the AAA's control that necessitate an extension. Variance requests must be submitted **in advance of the due date** and should be sent to the attention of Angela Smith-Dieng.

Reporting Requirements. The Area Agency on Aging agrees to furnish such reports and evaluations to the Department of Disabilities, Aging and Independent Living as may be specified in these assurances as well as additional contracts and grants.

Due Date	Reporting Period	Reports/Data Due
February 15	October-December	Title III and Title VII QTR 1 Financial Reports
May 15	January – March	Title III and Title VII QTR 2 Financial Reports, Draft Audits
August 1	October – September	FFY Budgets FFY19-FFY22 Finalized Area Plans
August 15	April – June	Title III and Title VII QTR 3 Financial Reports

October 20	July - September	Title III and Title VII QTR 4 Financial Reports
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*** The Department reserves the right to delay the release of funds to the Area Agency on Aging if required data or reports are not submitted in a timely fashion.**

Please refer to the NAPIS Reporting Procedures for specific instruction related to the submission of NAPIS reports.

3. Area Plan Amendments. Area Plan amendments will be made in conformance with applicable program regulations.
4. Opportunity to Contribute. Each service provider must offer older persons an opportunity to voluntarily contribute toward the cost of the services they receive under Title III programs. Such contributions must be used to expand the provider's services to older persons.
5. Usage of Local Funds. Local funds must be used in accordance with the budgeted use of local funds.
6. Client Transportation. AAAs shall purchase client transportation through public transit in all instances where public transit services are appropriate to client needs and as cost-efficient as other transportation, or wherever consistent with regional transportation development plans.
7. Exclusion from Federal Procurement. The AAA agrees to comply with federal requirements which prohibit non-federal entities from contracting with or making sub-awards under covered transactions to parties that are suspended or debarred or whose principals are suspended or debarred. Non-federal entities may check for suspended and debarred parties which are listed in the List of Parties Excluded From Federal Procurement or Nonprocurement Programs, issued by the General Services Administration.