

# **CHAPTER 1**

## **DOEA Sponsored Programs:**

**General Information**

**Planning Process and  
Aging Network**

**Monitoring**

**Program Reporting  
Requirements**

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

Table of Contents

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<b><u>Section:</u></b>	<b><u>Topic:</u></b>	<b><u>Page</u></b>
<b>I.</b>	<b>Section 1: General Information</b>	<b>1-4</b>
	A. Purpose of Handbook	1-4
	B. Organization and Use of the DOEA Handbook	1-5
	C. Scope of the DOEA Handbook	1-6
	D. Revisions and Changes to the DOEA Handbook	1-7
	E. Area Agency on Aging & Service Provider Coordination on Policy Matters	1-8
	F. Interagency Cooperation	1-9
	G. Policy Formulation	1-10
	H. Program Standards	1-11
	I. Authority for DOEA Programs	1-12
	J. Use of DOEA Logo	1-13
	K. Definitions	1-14
	L. Abbreviations or Acronyms	1-31
<b>II.</b>	<b>Section 2: Planning Process and Aging Network</b>	<b>1-33</b>
	A. Purpose of Section 2	1-33
	B. Introduction	1-34
	C. State Plan On Aging	1-35
	D. Public Input in the Planning Process & Strategy for Gaining Input	1-36
	E. DOEA Advisory Council	1-38

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Table of Contents**

---

<b><u>Section:</u></b>	<b><u>Topic:</u></b>	<b><u>Page</u></b>
	F. Area Agencies on Aging	<b>1-39</b>
	G. Area Plans	<b>1-40</b>
	H. Areawide Planning Responsibilities	<b>1-41</b>
	I. Uniform Area Plan Format	<b>1-43</b>
	J. Preparation of Multi-Year Plan	<b>1-44</b>
	K. Preparation of Area Plan Annual Update	<b>1-45</b>
	L. Review and Approval of Area Plan and Area Plan Update	<b>1-46</b>
<b>III.</b>	<b>Section 3: Monitoring</b>	<b>1-48</b>
	A. Purpose of Section 3	<b>1-48</b>
	B. Monitoring and Quality Assurance Overview	<b>1-49</b>
	C. Roles and Responsibilities	<b>1-51</b>
	D. Program Level Requirements	<b>1-53</b>
	E. Risk-Based Monitoring Approach	<b>1-58</b>
	F. Annual Monitoring Methodology	<b>1-62</b>
	G. DOEA Area Agency on Aging Monitoring	<b>1-63</b>
	H. Area Agency on Aging Subrecipient and Contractor Monitoring	<b>1-65</b>
	Attachment A: Governing Laws and Regulations	<b>1-66</b>
<b>IV.</b>	<b>Section 4: Program Reporting Requirements</b>	<b>1-71</b>

**PURPOSE OF HANDBOOK:**

- A. Official Document:** This handbook is an official document of the State of Florida, Department of Elder Affairs (DOEA). DOEA develops program policies, procedures, and standards applicable to agencies which are recipients/providers of funding under the following programs:
1. Alzheimer's Disease Initiative (ADI)
  2. Community Care for the Elderly (CCE)
  3. Home Care for the Elderly (HCE)
  4. Local Services Program (LSP)
  5. Older Americans Act (OAA) as amended
- B. State Unit on Aging:** The Department of Elder Affairs is, by law, Florida's State Unit on Aging. As such, it is required to provide written policies to carry out its activities.
- C. State and/or Federal Requirements:** This handbook is designed to:
1. Reflect the provisions of legislation, state policies and procedures;
  2. Interpret state and/or federal requirements for services funded under ADI, CCE, HCE, LSP and OAA;
  3. Specify DOEA's procedures for carrying out the overall responsibilities and functions of the State Unit on Aging; and
  4. Provide a reference for use by contract agencies in administering and providing services funded under these programs.

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**ORGANIZATION AND USE OF THE HANDBOOK:**

- A. Chapters/Sections:** This handbook is organized into chapters, some of which include sections containing similar subject matter. Sections are further divided into parts containing specific subject matter. Some chapters are simply divided into sections of specific subject matter.
- 1. Example:** For example, Chapter 2 contains sections related to case management activities and Chapter 4 contains sections concerning Older Americans Act programs.
  - 2. Program Specific:** Some chapters include information specific to a particular program area (e.g., Chapter 4—Older Americans Act or Chapter 5—Community Care for the Elderly).
  - 3. Universal Coverage:** Other chapters of the handbook will include subjects which are universally applied to each program area such as Chapter 2—Intake, Prioritization and Case Management.
- B. Handbook Organization:** The organization of the handbook by chapters and sections allows users to customize their review and select only the chapters and/or individual sections of the handbook they need.

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**SCOPE OF HANDBOOK:**

- A. Scope:** This handbook includes general requirements and policies applicable to all recipients of funding from ADI, CCE, HCE, LSP and OAA.
- B. Minimum Standards:** This handbook sets forth the minimum standards required for specific programs.
  - 1. Provider Responsibility:** All provider agencies must ensure their services to older persons comply with these minimum standards.
  - 2. Monitoring:** All monitoring of service quality is to be performed based on these standards.
- C. Technical Assistance:** Provider requests for technical assistance or clarification regarding the contents of this handbook should be directed to the Area Agency on Aging for response. The Area Agency on Aging, in turn, should request technical assistance or clarification from DOEA if assistance is needed.

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**REVISIONS AND CHANGES TO THE HANDBOOK:**

- A. Handbook Revisions:** Any revisions to this handbook will be made in accordance with DOEA policies and procedures and will be announced in the form of official revised or additional handbook pages. The revised pages of this handbook will be disseminated under the signature of the Secretary of the Department.
- B. Policy Changes and Clarifications:** DOEA has established procedures to ensure that Area Agency on Aging (AAAs) receive consistent communication on policy, policy changes, policy clarifications and information of interest to the aging network.
1. The Secretary or Deputy Secretary of the Department shall communicate policy and information matters to the Area Agency on Aging as follows:
    - a. **Notice of Policy:** The Notice of Policy is designed to communicate new policy or change in existing policy.
    - b. **Notice of Policy Clarification:** The Notice of Policy Clarification is designed to provide insight, explanation, or illumination on a policy that is currently in existence.
    - c. **Notice of Instruction:** The Notice of Instruction is designed to communicate the requirement to perform a particular task or activity.
    - d. **Notice of Transmittal:** The Notice of Transmittal is informational in nature and does not require action.
    - e. **Contractual Amendment:** Changes to the programs and services handbook, which is Attachment A to the contractual agreement, can be communicated through a contract amendment.
  2. The AAAs shall disseminate the above referenced notices to service providers as directed by the Department.
  3. The Notice of Policy and Notice of Policy Clarification shall have the same authority as other handbook directives. Policy issuances shall be incorporated in future revisions of this handbook.

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**AREA AGENCY ON AGING AND SERVICE PROVIDER COORDINATION ON POLICY MATTERS:**

- A. PSA Collaboration:** Within each planning and service area (PSA), the AAA and service providers should work collaboratively to serve seniors. AAAs should conduct regular meetings with providers to promote greater provider input in planning and advocacy efforts.
  
- B. Provider Appeals:** Providers have the right to appeal decisions made by the AAA to the AAA's board of directors after first trying to resolve issues with the AAA staff and executive director.

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**INTERAGENCY COOPERATION:**

The Department of Elder Affairs routinely participates with other agencies to represent the interest of older persons. Examples include:

<u>Name</u>	<u>Abbreviation</u>
A. Agency for Health Care Administration	AHCA
B. Agency for Persons with Disabilities	APD
C. Agency for Workforce Innovation	AWI
D. Department of Agriculture and Consumer Services	DACS
E. Department of Children and Families	DCF
F. Department of Community Affairs	DCA
G. Department of Education	DOE
H. Department of Health	DOH
I. Department of Transportation	DOT
J. Division of Blind Services	DBS
K. Executive Office of the Governor	EOG
L. Department of Veterans' Affairs	DVA

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**POLICY FORMULATION:**

- A. Policy Development:** Policy development refers to the process of developing authoritative direction for planning and operating DOEA-funded programs and services. DOEA is responsible for preparing and promulgating policy concerning all program and services state and federal law has assigned to it.
- B. Policy Promulgation:** Significant policies affecting program design are contained in administrative rules promulgated in **Chapter 58** of the **Florida Administrative Code** under provisions of **Chapter 120, Florida Statutes**.
- C. Administrative Decisions:** Policies representing administrative decisions concerning procedures, specific program goals and implementation methodologies are generally provided in this handbook.
- D. Statutory Authority:** DOEA is responsible for policy formulation.
  - 1. Existing Authority:** Policy formulation must be within existing governing statutory or regulatory authority.
  - 2. Aging Network Participation:** DOEA uses suggestions, comments, and recommendations from those in the aging network, including Area Agency on Aging, provider agencies and the general public in its efforts to formulate policy.

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**PROGRAM STANDARDS:**

- A. Minimum Standards:** A primary DOEA function is the adoption of minimum standards for services and activities.
- 1. Acceptable Performance Levels:** DOEA sets standards to establish specific criteria to define acceptable levels of program performance.
  - 2. Location of Minimum Standards:** Service chapters, service definitions and service goals contain minimum standards for provision of services.
- B. Quality Assurance:** DOEA monitors annually and provides ongoing technical assistance to ensure compliance with established standards.

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**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Authority for DOEA Programs**

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**AUTHORITY FOR DOEA PROGRAMS:**

DOEA has been given specific statutory authority under federal law, state law, and the Florida Administrative Code to operate its programs. The specific authority citations are identified in each of the succeeding chapters and appendices in this handbook.

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**USE OF DEPARTMENT OF ELDER AFFAIRS LOGO:**

- A. AAA Authorization:** Area Agencies on Aging may authorize the use of the DOEA logo in projects and presentations when DOEA funds are involved.
- B. Written Request:** The AAA shall provide written authorization for using the logo upon written request from a DOEA-funded entity.
- C. Authorization Determination:** The AAA shall make such determinations on a case-by-case basis.

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**DEFINITIONS:**

The following definitions apply throughout this handbook unless defined differently elsewhere or the context indicates otherwise. Definitions pertaining to a specific topic may be found in the chapter addressing that subject. Service definitions are contained in Appendix A of this handbook.

<b>#</b>	<b><u>TERM</u></b>	<b><u>DEFINITION</u></b>
<b>1.</b>	<b>Abuse</b>	Any willful act or threatened act by a relative, caregiver, or household member which causes or is likely to cause significant impairment to a vulnerable adult's physical, mental, or emotional health. Abuse includes acts and omissions.
<b>2.</b>	<b>Access Point</b>	A local entity that serves as a point of contact for individuals seeking information on long-term care services.
<b>3.</b>	<b>Administration on Aging (AoA)</b>	The agency, established within the Office of the Secretary of the U.S. Department of Health and Human Services, charged with the responsibility of administering the provisions of the Older Americans Act, except for Title V, which is administered by the U. S. Department of Labor. The principal official of the Administration on Aging is the Assistant Secretary for Aging.
<b>4.</b>	<b>Adult Family Care Home</b>	<ul style="list-style-type: none"><li><b>a.</b> An adult family care home is a private home where one to three aged or disabled adults receive room and board, personal care, and supervision.</li><li><b>b.</b> The family care sponsor serves as a substitute family for the aged or disabled person.</li><li><b>c.</b> In turn, the family care sponsor is paid for the expenses of caring for an extra person or persons in his/her home.</li></ul>

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| <b>5. Advisory Council</b>                     | A council organized to provide advice, suggestions, and recommendations concerning programs for older persons. Advisory councils exist at DOEA, each Area Agency on Aging and nutrition providers. Supportive services providers are not required to have advisory councils; however, providers are required to have some mechanism for receiving participant feedback. An advisory council does not have policy or decision making authority. It provides advice and recommendations that may then be reviewed by the governing body (board of directors) of the grantee agency.  |
| <b>6. Allowable Cost</b>                       | Those categories of costs that can be charged to a grant or contract.  |
| <b>7. Alzheimer's Disease (AD)</b>             | <ul style="list-style-type: none"><li>a. A disease that affects the cells of the brain. It produces a diminished capacity to think or understand; as well as the inability to perform routine duties.</li><li>b. It affects primarily elderly individuals from all socio-economic levels.</li><li>c. There are also several other related disorders, which mimic Alzheimer's disease.</li><li>d. Memory loss, to the extent experienced by AD clients, is not a natural part of the aging process, as was popularly believed in the past.</li><li>e. There is no treatment available to stop or reverse the mental deterioration characteristic of AD.</li><li>f. An absolute diagnosis can only be made upon examination of brain tissue, usually at autopsy.</li></ul> |
| <b>8. Alzheimer's Disease Initiative (ADI)</b> | A state general revenue funded program for providing the following: respite care, model day care, memory disorder clinic services and a brain bank.  |
| <b>9. Area Agency on Aging (AAA)</b>           | <ul style="list-style-type: none"><li>a. Under the authority of the Older Americans Act of 1965, as amended, DOEA designates this entity within a planning and service area (PSA) to develop and administer a plan for a comprehensive and coordinated system of services for older persons.</li></ul>   |

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| 10. <b>Area Plan on Aging</b>             | a. A plan developed by the AAA outlining a comprehensive and coordinated service delivery system in its planning and service area in accordance with 45 CFR 1321. It follows the uniform area plan format prescribed by DOEA.<br><br>b. This plan identifies funding resources, sets forth measurable objectives, and identifies the planning, coordination, and evaluation activities to be undertaken for the period of the plan. The area plan must be submitted to DOEA for approval prior to contracting for funding. |
| 11. <b>Assisted Living Facility (ALF)</b> | An ALF provides room and board as well as other personal services for its residents. It is designed for the person who does not require bed care except for minor temporary illness, not to exceed seven consecutive days, and who would benefit from living in a group setting.   |
| 12. <b>Assistive Technology</b>           | Technological equipment, technology, and engineering that are appropriate and assist in meeting the needs of, and addressing the barriers confronted by, older individuals with functional limitations.  |
| 13. <b>Audit (independent)</b>            | A formal examination of an organization's accounts or financial situation by a certified public accountant that results in the auditor issuing an attestation (opinion) on the fairness of the financial statements. An audit may also include examination of compliance with applicable terms, laws, and regulations.   |
| 14. <b>Below Poverty Level</b>            | Having income below the amount annually established by the federal government as the poverty level.  |
| 15. <b>Board of Directors</b>             | a. A group of individuals serving as the legally recognized body of an organization, such as the AAA or service provider.<br><br>b. A board of directors, in contrast to an advisory council, has policy-making responsibility and is required to operate according to a charter and a set of bylaws.  |
| 16. <b>Breach of Contract</b>             | Material non-compliance with the terms of the contract.  |

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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| <b>17. Budget</b>                               | A budget for the purposes of this handbook is a financial plan of action and an aid to program coordination and implementation.  |
| <b>18. Caregiver</b>                            | This is an individual responsible for the care of an older individual, either voluntarily as a result of family relationship or friendship, or by contract or receipt of payment for care.   |
| <b>19. Care Plan</b>                            | <ul style="list-style-type: none"><li>a. The tool used by the case manager to document a client's assessed needs, services to be provided, and costs associated with the provision of services.</li><br/><li>b. The care plan is a plan of action, developed in conjunction with the client, caregiver, and the client's family or representative. It is designed to assist the case manager in the overall management of the client's care.</li></ul> |
| <b>20. Case Management</b>                      | Case management is a client centered service that assists clients in identifying physical and emotional needs and problems through an interview and assessment process; discussing and developing a plan for services which addresses these needs; arranging and coordinating agreed upon services; and monitoring the quality and effectiveness of the services.  |
| <b>21. Case Record</b>                          | A client-specific file, maintained manually and/or electronically, that contains necessary client information, client assessment and other required forms, and narrative recordings of contacts and assistance provided.   |
| <b>22. Community</b>                            | A geographic area designated by the AAA after considering the incidence of need, availability and delivery pattern of local services, and natural boundaries of neighborhoods. A community may be a county, a portion of a county, or two or more counties.  |
| <b>23. Community Care for the Elderly (CCE)</b> | A program to assist eligible, functionally impaired elderly persons age 60 and over in living dignified and reasonably independent lives in their own homes or in the homes of relatives or "caregivers" through the provision and coordination of various community-based services.   |
| <b>24. Community Care Service System</b>        | <ul style="list-style-type: none"><li>a. A service network offering a variety of home-delivered services, day care, case management, and other basic network services for functionally impaired elderly persons.</li></ul>   |



**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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- 32. Dementia**
- a. The loss of cognitive functions (such as thinking, remembering, and reasoning) of sufficient severity to interfere with an individual's daily functioning.
  - b. Dementia is not a disease. It is a group of symptoms which may accompany certain diseases or conditions. Symptoms may also include changes in personality, mood, and behavior.
- 33. Department** The Florida Department of Elder Affairs (DOEA).
- 34. Department of Children and Families (DCF)** The state agency responsible for social and financial assistance services for categorically eligible children and adults.
- 35. Department of Community Affairs (DCA)** The state agency which provides a portion of the Low-Income Home Energy Assistance Program (LIHEAP) funding to DOEA to administer the Emergency Home Energy Assistance for the Elderly Program (EHEAP).
- 36. Department of Health and Human Services (DHHS)** The federal agency, which includes the Administration on Aging, responsible for administering the Older Americans Act programs.
- 37. Direct Costs** Expenses that can be easily associated with a particular project, service or other direct program activity. For example, an expense for purchasing and delivering meals (e.g. salaries and fringe benefits, travel, supplies) is a direct cost of that service; wages for an individual who performs homemaker and chore can be directly allocated to these services proportionate to time spent in each service. Expenses must be consistently treated as either a direct or indirect cost in like circumstances. For example, administrative costs cannot be allocated directly to some programs but allocated indirectly to others.

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- 38. Disallowed Costs** A charge to a grant that the awarding agency determines to be unallowable, in accordance with the applicable cost principles or other terms and conditions contained in the award. The Department will not pay for these expenditures and the disallowed expenditure becomes the responsibility of the recipient or subrecipient and must be paid for with non-state/federal resources.
- 39. Elder Helpline** A toll free number designated in every Florida county as the central information line for older Floridians. Persons knowledgeable about community programs provide information, referrals for services, and advocate for those having difficulty negotiating the system.
- 40. Emergency Home Energy Assistance for the Elderly Program (EHEAP)** A program that assists low-income households experiencing a home energy emergency provided the household includes at least one person age 60 or older. The program is administered by DOEA through a contract with the Department of Community Affairs (DCA).
- 41. Equipment** Tangible nonexpendable personal property, including exempt property, charged directly to the funding source, having a useful life of more than one year and an acquisition cost of \$5000 (federal) or \$1000 (state) or more per unit.
- 42. Exploitation** "Exploitation" means, but is not limited to the following:
- a.** Improper or illegal use or management of a vulnerable adult's funds, assets, or property with the intent to temporarily or permanently deprive the person of the use, benefit, or possession of the funds, assets, or property for the benefit of someone other than the vulnerable adult; or
  - b.** Intentional or negligent failure to effectively use a vulnerable adult's income and assets for the necessities required for that person's support and maintenance.

- 43. Federal Flow Through Funds**      An arrangement where the initial source of funds for a project is directly attributable to the federal government through a grant or contract to a nonfederal sponsor, such as the funds received by the subrecipient (AAA) from DOEA. Federal flow through funds gain the identity of federal funds upon receipt of an award to the state and federal rules apply to the receipt, spending, and accounting of the funds unless expressly exempted by the federal agency initially making the award.
- 44. Federal Regulations**
- a. Non-statutory policies/procedures/ requirements adopted by U.S. governmental agencies to fulfill and implement a statutory purpose.
  - b. Regulations are published in the Federal Register and are codified in the Code of Federal Regulations (CFR).
  - c. These regulations have the force and effect of law and are binding on agencies or persons to which they apply.
- 45. Fiscal Compliance**      Assurance that funds are appropriately spent and that the work is completed to specified standards.
- 46. Fiscal Year**      A specified twelve-month period during which state and/or federal funding sources are expended. Specific fiscal years are listed below:
- a. The Federal Fiscal Year (FFY) - October 1 through September 30.
  - b. The State Fiscal Year (SFY) - July 1 through June 30.
  - c. OAA Title III Contract Year - January 1 through December 31.
  - d. Provider Fiscal Year - a specified twelve-month period determined by the provider agency.
- 47. Florida Abuse Hotline**      The program/system administered by the Florida Department of Children and Families to identify and investigate abuse, neglect and exploitation cases.

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- 48. Focal Point** Refers to Community Focal Point, which is a facility established under the Older Americans Act to encourage the maximum collocation and coordination of services for older individuals.
- 49. Frail** A condition of physical and/or mental disability, including Alzheimer's disease or a related disorder with neurological brain dysfunction that restricts an individual's ability to perform normal activities of daily living or threatens the individual's capacity to live independently.
- 50. Functional Assessment**
- a. A comprehensive, systematic, and multidimensional review of a person's ability to remain independent and in the least restrictive living arrangement.
  - b. Persons assessed will be asked questions to determine the following functional areas also called assessment domains:
    - i. Mental health/behavior cognition;
    - ii. Physical health;
    - iii. ADLs/IADLs;
    - iv. Nutrition status;
    - v. Health condition;
    - vi. Special services;
    - vii. Medications;
    - viii. Caregiver assessment;
    - ix. Social resources; and
    - x. Environmental assessment.
  - c. Case managers perform assessments.

- 51. Functionally Impaired Elderly Person**
- a. A person 60 years of age or older with physical or mental limitations which:
    - i. Restrict the individual's ability to perform the normal activities of daily living; and
    - ii. Impede the individual's capacity to live independently without provision of services.
  - b. Functional impairment will be determined through a functional assessment completed with each applicant for CCE, HCE, and ADI services.
- 52. Generally Accepted Accounting Principles (GAAP)**
- These are the uniform minimum standards for financial accounting and reporting that govern the form and content of the financial statements of an entity. GAAP encompass the conventions, rules and procedures necessary to define accepted accounting practices at a particular time. They include not only broad guidelines of general application, but also detailed practices and procedures. The primary authoritative body on the application of GAAP to state and local governments is the Governmental Accounting Standards Board.
- 53. Greatest Economic Need**
- Greatest economic need means the need resulting from an income level at or below the poverty level established by the Federal Office of Management and Budget.
- 54. Greatest Social Need**
- Greatest social need means the need caused by non-economic factors, which restricts an individual's ability to perform normal daily tasks or threatens his/her capacity to live independently. These needs include the following:
- a. Physical and/or mental disabilities;
  - b. Language barriers;
  - c. Cultural, social or geographical isolation; and
  - d. Isolation due to racial or ethnic status

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- 55. HIPAA** Health Insurance Portability and Accountability Act of 1996. HIPAA is the federal law passed governing the transmission, disclosure and security provided by covered entities and their business associates for protected health care information.
- 56. Home Care for the Elderly (HCE)**
- a. This program provides care for the elderly in family-type living arrangements in private homes. A relative or other caregiver provides on a not-for-profit basis.
  - b. A relative or other caregiver provides basic services of maintenance, supervision, and any necessary specialized service needs.
  - c. The caregiver may provide these services for three or less relatives or non-relatives.
- 57. Home-bound** Individuals who are confined to their homes for any period of time and are unable to leave the residence without assistance from another person.
- 58. Independent Contractor** A person working or an entity under contract and not as an employee of the contracting entity. The contracting entity does not pay unemployment, disability or workers' compensation insurance, or withhold taxes from payments made to the person.
- 59. Indirect Costs** Expenses that have been incurred for common or joint objectives and that cannot be readily associated with a particular program or service function (usually management and general administrative expenses).
- 60. In-Kind** A service or item the subrecipient or a third party donates or pays for from nonfederal funds to the operations of a funded project. In the project budget, a subrecipient must designate an in-kind contribution and must reference the contribution as a real direct project cost. A subrecipient must keep a written record of the in-kind contribution and make the record available to the auditors.

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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| <b>61. Internal Control</b>                         | A system of checks and balances within a business enterprise that ensures that the enterprise's assets are properly safeguarded and that the financial information produced by the enterprise is accurate and reliable.   |
| <b>62. Lead Agency</b>                              | An agency designated in each community care system which has the authority and responsibility to: <ul style="list-style-type: none"><li>a. Provide case management;</li><li>b. Perform functional assessments; and</li><li>c. Integrate and coordinate the delivery of service to functionally impaired elderly persons;</li></ul>                    |
| <b>63. Long-Term Care Ombudsman Program (LTCOP)</b> | Federally funded program in compliance with the OAA and 45 CFR 1321, which provides for investigation and resolution of complaints made by or for older persons in long-term care (LTC) facilities. The program monitors laws, regulations, and policies regarding LTC facilities and carries out related protective advocacy.                        |
| <b>64. Matching Funds</b>                           | Financial contribution by the grantee when required level of match is required for cost sharing.  |
| <b>65. Means Test</b>                               | The use of an individual's income or resources to accept, deny or limit that person's receipt of services. The means test is prohibited for services under the OAA.   |
| <b>66. Monitoring</b>                               | The collection and analysis of contract agencies' performance related to current and past activities in order to determine:   |
| <b>67. Multipurpose Senior Center (MPSC)</b>        | <ul style="list-style-type: none"><li>a. A community or neighborhood facility used for the organization and provision of a broad spectrum of services for elders including the health, social, nutritional, and educational services.</li><li>b. These facilities may also be used for recreational and group activities for older persons.</li></ul> |

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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- 68. Neglect**
- a. The failure or omission on the part of the caregiver or vulnerable adult to provide the care, supervision, and services necessary to maintain the physical and mental health of the vulnerable adult, including, but not limited to, food, clothing, medicine, shelter, supervision, and medical services, which a prudent person would consider essential for the well-being of a vulnerable adult; or
  - b. The failure of a caregiver or vulnerable adult to make a reasonable effort to protect a vulnerable adult from abuse, neglect, or exploitation by others. "Neglect" is repeated conduct or a single incident of carelessness that produces or could reasonably be expected to result in serious physical or psychological injury or a substantial risk of death.
- 69. Nonprofit Organization**
- a. A nonprofit organization is a corporation, trust, association, cooperative, or other organization which is:
    - i. Operated primarily for scientific, education, service, charitable, or similar purposes in the public interest;
    - ii. Not organized primarily for profit; and
    - iii. Uses its net proceeds to maintain, improve and/or expand its operations.
  - b. No part of the net earnings may benefit any private shareholder or individual.
- 70. Nutrition Services Incentive Program (NSIP)**
- A program that provides cash and/or commodities to supplement congregate and home delivered meals provided under the authority of the Older Americans Act.
- 71. Older Americans Act (OAA)**
- a. Federal legislation that provides funding for a wide array of social services for persons age 60 and older. It was enacted in 1965 and has been amended periodically over time.

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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- b. The Act emphasizes the development of a comprehensive and coordinated service delivery system for the elderly; elimination of duplicating and overlapping functions; and integration of social and nutritional services.
- 72. OAA Title IIIB** Older Americans Act section providing funding for supportive service programs, including multipurpose senior centers, for older persons.
- 73. OAA Title IIIC1** Older Americans Act section providing funding for congregate meals, outreach, and nutrition education for older persons.
- 74. OAA Title IIIC2** Older Americans Act section providing funding for home delivered meals, outreach, and nutrition education for older persons.
- 75. OAA Title IIID** Older Americans Act section providing funding for disease prevention and health promotion services for older persons.
- 76. OAA Title IIIE** Older Americans Act section known as the National Family Caregiver Support Program. It funds supportive services for caregivers who provide in-home care for frail older individuals and grandparents or older persons who are relative caregivers of children 18 years of age or younger or individuals with a disabilities.
- 77. OAA Title V** Older Americans Act section providing for the Senior Community Service Employment Program (SCSEP).
- 78. OAA Title VII** Older Americans Act section which incorporates separate authorizations of appropriations for the:
- a. Long-term care ombudsman program;
  - b. Program for prevention of elder abuse, neglect, and exploitation; and
  - c. Elder rights and legal assistance program.

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Definitions**

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| <b>79. 2 CFR PART 215 (Formerly OMB CIRCULAR A-110)</b> | This circular sets forth standards for obtaining consistency and uniformity among federal agencies in the administration of grants to, and agreements with, institutions of higher education, hospitals, and other nonprofit organizations. DOEA, as the recipient of federal awards, shall apply the provisions of this circular to subrecipients performing substantive work under those federal grants and agreements that are passed through or awarded to its subrecipients. |
| <b>80. Planning and Service Area (PSA)</b>              | A geographic service area established by the Department, in which the programs of the Department are administered and services are delivered.   |
| <b>81. Procurement</b>                                  | The method used to select contractors and subcontractors (recipients, subrecipients, and vendors) for award, and includes both competitive and noncompetitive methods. It is also the process of obtaining services, supplies and equipment in conformance with applicable laws and regulations.  |
| <b>82. Program Income</b>                               | Gross income earned by a recipient and subrecipient that is directly generated by the grant-supported project or activity, or earned as a result of the award.  |
| <b>83. Purchase of Services Contracting</b>             | A form of contracting that constitutes a legally binding agreement between two parties (generally a state agency and a nonprofit entity) that contain mutually binding obligations requiring the nonprofit entity, under a privatization arrangement, to deliver services to a third party (consumer) at the behest and direction of the government agency.   |
| <b>84. Quality Assurance</b>                            | Evaluation of the quantity, quality, economy and appropriateness of services in accordance with prescribed standards of care and level of professionalism. It also includes methods for determining participants' satisfaction or dissatisfaction with services being delivered.  |
| <b>85. Rural Area</b>                                   | An area outside a Standard Metropolitan Statistical Area (SMSA) as defined by the Department of Commerce, Bureau of Census.   |

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- 86. Recipient/  
Subrecipient** A person or entity, which is not an employee, who performs all or part of those services under contract with the pass-through entity. Recipients and subrecipients typically determine program eligibility, are responsible for program decision-making and must adhere to compliance requirements. They have their performance measured against state and federal goals, and use federal and state program funds to carry out services under programs
- 87. Service Provider** An entity that is awarded a sub-grant or contract from an Area Agency on Aging to provide services under the following programs:
- a. Older Americans Act;
  - b. Alzheimer’s Disease Initiative;
  - c. Community Care for the Elderly;
  - d. Home Care for the Elderly;
  - e. Local Services Program; and
- 88. Single Audit** A financial, internal control and compliance audit of a nonfederal entity administering federal awards and state financial assistance including the financial statements of the entity. The federal Single Audit Act and Florida Single Audit Act (Section 215.97, F.S.), require an independent audit be performed if a subrecipient expends at, or in excess of, a certain threshold (\$500,000) of federal or state awards.
- 89. State** The State of Florida.

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- 90. State Plan on Aging**
- a. A multi-year plan developed by the Department which describes the service needs of the elderly; Identifies priority services and target client groups; Provides for periodic evaluation of activities and services funded under the plan; and Provides for the administration of funds available through the Older Americans Act.
  - b. The plan will be based on area plans in accordance with the requirements of the Act.
- 91. State Unit on Aging**
- The single state agency designated to develop and administer the State Plan on Aging. In Florida, this is the Department of Elder Affairs.
- 92. Subcontract/Subaward/Subgrant**
- An agreement or secondary contract in which a third party agrees to perform some of the activities defined in a primary contract proposal. This agreement or secondary contract is agreed upon at the time of the original proposal submission, but not initiated until after the award has been made to the designated organization.
- 93. Technical Assistance**
- The provision of information to recipient and subrecipients with the goal of increasing the competence or capacity in a particular area. Technical assistance should be ongoing and proactive.
- 94. Units of Service**
- a. A standard method for counting and reporting services provided.
  - b. Units of service are listed with each service description in Appendix A.
- 95. Vendor**
- An entity providing goods or services pursuant to an agreement and not meeting the definition of subrecipient/ subcontractor.

**ABBREVIATIONS OR ACRONYMS:**

<b>#</b>	<b><u>ABBREVIATIONS/ ACRONYMS</u></b>	<b><u>TERM</u></b>
1.	AAA	Area Agency on Aging
2.	AD	Alzheimer's disease
3.	ADI	Alzheimer's Disease Initiative
4.	ADL	Activities of Daily Living
5.	ALE	Assisted Living for the Frail Elderly Medicaid Waiver
6.	ALF	Assisted Living Facility
7.	AoA	Administration on Aging
8.	APCL	Assessed Priority Consumer List
9.	CCE	Community Care for the Elderly
10.	CIRTS	Client Information and Registration Tracking System
11.	DCA	Department of Community Affairs
12.	DCF	Department of Children and Families
13.	DOEA	Department of Elder Affairs
14.	EHEAP	Emergency Home Energy Assistance for the Elderly Program
15.	F.A.C.	Florida Administrative Code
16.	F.S.	Florida Statutes
17.	HCE	Home Care for the Elderly

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 1: General Information**

**Abbreviations or Acronyms**

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<b><u>ABBREVIATIONS/ ACRONYMS</u></b>	<b><u>TERM</u></b>
<b>18. HCBS</b>	Home and Community-Based Services
<b>19. IADL</b>	Instrumental Activities of Daily Living
<b>20. ICP</b>	Institutional Care Program
<b>21. LSP</b>	Local Services Program
<b>22. LTCOC</b>	Long-Term Care Ombudsman Council
<b>23. MDC</b>	Memory Disorder Clinic
<b>24. NSIP</b>	Nutrition Services Incentive Program
<b>25. OAA</b>	Older Americans Act
<b>26. PSA</b>	Planning and Service Area
<b>27. QMB</b>	Qualified Medicare Beneficiary
<b>28. RDI</b>	Recommended Dietary Intake
<b>29. SLMB</b>	Special Low-Income Medicare Beneficiary
<b>30. SPA</b>	Service Provider Application
<b>31. SPGO</b>	State Public Guardianship Office
<b>32. SSA</b>	Social Security Administration
<b>33. SSI</b>	Supplemental Security Income

**PURPOSE OF SECTION 2:**

- A. Planning Process:** This section outlines the planning responsibilities of the Department of Elder Affairs (DOEA).
- B. Guidance:** The section also provides guidance to the Area Agency on Aging (AAAs) for the following tasks concerning the comprehensive and coordinated area plan for services to older persons:
1. **Planning;**
  2. **Development;**
  3. **Preparation;**
  4. **Coordination; and**
  5. **Submission of the area plan.**

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**INTRODUCTION:**

- A. Legislation:** The Department of Elder Affairs (DOEA) is the agency constitutionally designated by Florida voters to “serve as the primary state agency responsible for administering human services programs for the elderly.” (Section 430.03, Florida Statutes). The Department is Florida’s State Unit on Aging and, as such, receives federal Older Americans Act funds to provide opportunities and supports for older persons to live independent, meaningful and productive lives in their communities.
- B. Mission:** The Department's mission is to foster optimal quality of life for elder Floridians.
- C. Responsibilities:** The Department is responsible for preparing the Florida State Plan on Aging (Section 307, Older Americans Act of 1965 as amended).

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**STATE PLAN ON AGING:**

- A. Purpose:** The state plan on aging, published at two, three or four-year intervals, is necessary for the Department to remain eligible to participate in programs of grants to the states from allotments under the Older Americans Act of 1965 (as amended), and to comply with its statutory mandates provided under Chapter 430, Florida Statutes, and the Older Americans Act of 1965 (as amended).
- B. Plan Contents:** The state plan on aging includes the following:
- 1. General Descriptions:**
    - a. Conditions of older Floridians;
    - b. Current service system;
    - c. Department goals and objectives under the plan; and
    - d. Department priority initiatives to be pursued to achieve its goals and objectives.
  - 2. Fund Allocations:** A formula for the intrastate allocation of anticipated Older Americans Act Title III funds.
  - 3. Assurances:** All the general and specific operational assurances required by law and regulation.

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**Section 2: Planning Process and Aging Network**

**Public Input in the Planning Process and Strategy for Gaining Input**

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**PUBLIC INPUT IN THE PLANNING PROCESS AND STRATEGY FOR GAINING INPUT**

To achieve its legislatively mandated purposes, the Department will “hold public meetings regularly throughout the state for purposes of receiving information and maximizing the visibility of important issues.” [Section 430.04(13), Florida Statutes]

- A. Philosophy:** DOEA’s philosophical basis of all planning efforts is that agency plans should be:
1. Driven by issues developed at the local level;
  2. Practical and understandable to constituents; and
  3. Based on needs of users, not governmental systems and agencies.
- B. Practicality:** The Department’s system for collecting public input utilizes and builds upon, rather than supplants, existing local planning activities. At the same time, recognizing the fiscal constraints on the state, the Department uses any of the following methods to gather public input: scheduled constituent gatherings, surveys, focus groups, or meetings with public officials, advocates and service providers.
- C. DOEA Foundation Principle:** Local communities and the people served should have a major impact on the Department's direction.
1. **Florida Law:** In the section of Florida law creating the Department, several mechanisms were developed to ensure that the Department's multiple constituencies have a major role in the Department's planning and functioning.
  2. **Stakeholders:** The law identifies the Department's stakeholders and includes any person, group, association, private or public entity or governmental body directly or indirectly affected by the activities of the Department.
  3. **AAAs/Advisory Council:** Directors of the Area Agency on Aging and the Department's advisory council are key informants in all of the Department's planning efforts.

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**Section 2: Planning Process and Aging Network**

**Public Input in the Planning Process and Strategy for Gaining Input**

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**STRATEGY FOR GATHERING PUBLIC INPUT:**

**A. Input Process:** The Department developed its public input process to use and build upon the following existing mechanisms created for this purpose.

1. Direction in the development of its plans;
2. Evaluation of current plans; and
3. Feedback on Department staff strategies to meet unmet needs.

**B. DOEA Plan Creation/Revision:** For the creation and revision of the Department's plans, staff collate information gained from the following sources:

1. Public hearings;
2. Key informants;
3. Focus groups on aging issues;
4. Meetings with AAA directors and planning staff;
5. Advisory Council meetings;
6. Survey responses and other data sources; and
7. Other meetings and hearings.

**Priority Issues:** Staff of the Department uses this information to formulate draft priority issues.

**C. State Plan:** After Department staff develops the draft state plan, input from Area Agency on Aging and advisory council members is incorporated into the document.

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**DEPARTMENT OF ELDER AFFAIRS (DOEA) ADVISORY COUNCIL:**

**A. State Law:** Section 430.05, Florida Statutes, creates a DOEA Advisory Council. “It is the intent of the Legislature that the advisory council shall be an independent nonpartisan body and shall not be subject to control, supervision, or direction by the Department.” [Section 430.05(1), Florida Statutes]

**1. Council Composition:** The council consists of the following representatives:

- a. One member appointed by the Governor from each of the Department’s eleven planning and service areas;
- b. Two additional members appointed by the Governor;
- c. Two members appointed by the President of the Florida Senate; and
- d. Two members appointed by the Speaker of the Florida House of Representatives.

**2. Demographic Requirements:** A majority of the council members must be 60 years of age or older, with balanced gender and minority representation among the members.

**B. Council Purpose:** The council performs two major functions:

**1. Advisory:** The council serves in an advisory capacity to the Secretary of the Department of Elder Affairs to assist the Secretary in carrying out the purposes, duties, and planning responsibilities of the Department.

**2. Recommendations:** The council may make recommendations to the following individuals regarding organizational issues and additions or reductions in the Department’s duties and responsibilities:

3.
  - a. Secretary of the Department of Elder Affairs;
  - b. Governor;
  - c. President of the Florida Senate; and
  - d. Speaker of the Florida House of Representatives.

**AREA AGENCIES ON AGING (AAA):**

- A. 11 AAAs:** Eleven (11) AAAs administer a substantial portion of Florida's programs for elders.
- B. OAA Authority:** Sections 305(a)(1)(E) and (a)(2)(A) of the Older Americans Act (OAA) specify that a single agency will be designated in each planning and service area to locally plan and administer OAA programs.
- C. Board of Directors:** A board of directors governs each AAA.
- D. Advisory Council:** Each AAA has an advisory council to advise the AAA on matters relating to the development and coordination of services for older persons. At least fifty-percent of the advisory council's membership must be 60 years of age or older.

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**AREA PLANS:**

- A. Federal Requirements:** Federal regulations at 45 CFR 1321.53 require that each AAA, as part of its mission and under the leadership and direction of DOEA, proactively perform planning, monitoring and evaluation relating to programs for older persons:
- B. Specific Services:** Area plans shall describe in detail the specific services to be provided in serving the planning and service area's older population.
- C. Plan Development:** The area plan is developed based on an assessment of an area's need, and incorporates public input obtained through public hearing and information solicited from elders, their caregivers, and service providers
- D. AAA Goals/Objectives:** The area plan also outlines the goals and objectives that the AAA and its staff and volunteers plan to accomplish each year.
- E. AAA Policies and Strategies:** The area plan contains policies and strategies that provide the programmatic direction to achieve goals and objectives.
- F. Performance and Outcome Measures:** The area plan includes area metrics, such as outputs and outcomes, used by the AAA to quantify progress towards achievement of goals and objectives.
- G. Financial Information:** The area plan includes information to illustrate the distribution of funding by services, funding source, provider, and county.

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**AREAWIDE PLANNING RESPONSIBILITIES:**

- A. AAA Primary Functions:** The AAA's primary functions are to:
1. Develop a comprehensive and coordinated system within the planning and service area for the provision of supportive and nutrition services for older persons; and
  2. Establish, maintain or construct multipurpose senior centers, where appropriate.
- B. Planning:** The term planning refers to the process of making rational decisions effecting the future wherein:
1. **Needs and priorities** are identified;
  2. **Goals and objectives** are defined to attend to identified needs and priorities; and
  3. **Policies and strategies** are established for activities by the agency and service system (network of service provider agencies) to the effect of achieving the defined goals and objectives.
- C. Area Plan:** Area plans are the foundation of the state plan on aging. Area plans are developed for a two, three or four-year period, as determined by the Department. They document and provide assurances as to how the Area Agency on Aging and the service provider network will:
1. Address the needs of elders within the planning and service area; and
  2. Maintain compliance with the rules, regulations and policy guidance governing the Older Americans Act and all other programs sponsored by the Department.
- D. Appropriate Planning Criteria:** Proper planning is based on the following:
1. Current knowledge of the conditions of older persons.
  2. Knowledge about the extent of the need for services.
  3. Realistic appraisal of existing available community resources.
  4. An analysis, based on numbers 1, 2, and 3 above, to determine how best to improve the welfare of elders in the planning and service area.

- E. Evaluation Process:** To evaluate the effectiveness of the use of resources in meeting needs, the plan must explicitly incorporate a properly designed system of performance measures including outputs and outcomes. This system must include, at a minimum, a prescribed set of performance measures that the Department considers necessary for the proper administration of the statewide system of Older Americans Act providers. The plan must include the AAA's strategies for achieving the prescribed performance measures.

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**UNIFORM AREA PLAN FORMAT:**

**A. Plan Format and Availability:**

1. **Uniform Format:** The Department will prepare a uniform format for use by Area Agencies on Aging in developing their area plans.
2. **Availability:** The Department will distribute the uniform area plan format to the AAAs via Notice of Instruction, which will include relevant guidance and time frames.

**B. Area Plan Format Comments/Suggestions:**

1. **Comments/Suggestions:** DOEA's policy is to accept comments or suggestions regarding any aspects of the uniform area plan format from any source at any time during the year.
2. **Format Review:** DOEA shall consider such comments and suggestions at the next review of the uniform area plan format.

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**PREPARATION OF MULTI-YEAR AREA PLAN:**

- A.** The AAAs shall prepare area plans on a **multi-year cycle**, as directed by the Department. Subsequent years, after the original multi-year plan submission, shall include an **annual update** consisting primarily of financial and programmatic documentation.
  
- B.** Area plans will be prepared in a format prescribed by the Department in accordance with the requirements of the Older Americans Act, as amended.
  
- C. Public Hearing Requirement:** Each AAA shall conduct at least one public hearing on the multi-year area plan.
  - 1. Adequate Notice:** The AAA shall provide older persons, public officials and interested parties at least 15 days advance notice of the **time, date and location** of the public hearing.
  
  - 2. Reasonable Opportunity:** The time and location of the hearing must permit a reasonable opportunity for older persons, public officials and other interested persons to participate. The hearing location must meet Americans with Disabilities Act (ADA) standards for accessibility.
  
- D. Review and Approval at the Local Level:**
  - 1.** The AAA advisory council must have the opportunity to provide input into the development of the multi-year plan. The signature of the advisory council chairperson is required prior to the plan's submission to DOEA.
  
  - 2.** The AAA board of directors must review and approve the multi-year area plan. The signature of the board's chairperson is required prior to the plan's submission to DOEA.

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**PREPARATION OF AREA PLAN ANNUAL UPDATE:**

**A. Annual Update Requirements:** DOEA will provide the AAA with specific requirements for the annual update of the multi-year area plan through Notice of Instruction.

**B. Review and Approval at the Local Level:**

1. The AAA advisory council must review and sign-off on the area plan annual update. The signature of the advisory council chair is required prior to the annual update's submission to DOEA.
2. The AAA board of directors must review and approve the area plan annual update. The signature of the board president is required prior to the annual update's submission to DOEA.

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**REVIEW AND APPROVAL OF AREA PLAN AND ANNUAL AREA PLAN UPDATE:**

- A. DOEA Responsibility:** DOEA will carefully review the multi-year area plan or annual update and advise the AAA in writing as to the acceptance of the plan or update. If the plan or update is not acceptable, the Department will provide the AAA with written comments regarding the need for revisions. The Department's responsibility is to ensure that the final multi-year area plan and annual updates conform to OAA requirements, and that all comments and suggestions identified in the review have been addressed in the final submission.
- B. DOEA/AAA Contract:** Once the multi-year area plan or annual update is submitted to DOEA, it becomes a referenced exhibit in the formal contract with DOEA for federal and state funding.
- 1. Changes:** DOEA must approve any changes to the goals and objectives of the multi-year area plan or annual updates.
  - 2. Noncompliance Issues:** DOEA may require changes at any time in any portion of the multi-year area plan or annual updates if the Department determines the document is incompatible with established policy, or the document is not in compliance with current program guidelines and criteria for use of funds.
- C. Identified Multi-Year Area Plan or Annual Update Deficiencies:** If there are portions of the multi-year area plan or annual update which DOEA determines to be deficient, DOEA may proceed with the multi-year area plan or annual update and contract approval by placing a condition of award in the contract language, or by requiring the AAA to correct the identified deficiencies by a specific date.
- D. Unacceptable Multi-Year Area Plan or Annual Update:** If DOEA determines the final multi-year area plan or annual update is unacceptable as submitted and is subject to disapproval, DOEA shall promptly advise the AAA of the likelihood of such disapproval. The AAA shall be given a specified time to revise the multi-year area plan or annual update in order to be in full compliance with the required changes.

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**E. Continued Noncompliance:** If DOEA determines the AAA changes continue to be inadequate to bring the plan to an acceptable standard, the following policies will apply:

- 1. Certified Mail/Hand Delivered Notification:** The DOEA Secretary shall submit a formal notification letter addressed to the AAA executive director with a copy submitted to the president (chairperson) of the AAA governing board. The notification shall be submitted by U.S. Certified Mail or hand delivered. The notification shall contain the following:
  - a. Reason for Disapproval:** A brief statement of the reasons the submitted multi-year area plan or annual update cannot be approved;
  - b. Facts/Circumstances/Evidence:** Information as to the facts, circumstances and evidence which substantiate the multi-year area plan or annual update disapproval;
  - c. Chronology:** A brief chronological summary of DOEA actions to identify the deficiencies and provide assistance to the AAA for corrective action;
  - d. AAA Remedies:** A brief summary of the observed AAA actions to remedy the identified deficiencies to date; and
  - e. Fair Hearing:** The AAA's right to request a hearing on this decision under Chapter 120.57(2), F.S., within 15 days after receipt of the formal notification.
- 2. AAA Designation Withdrawal:** The disapproval of a multi-year area plan or annual update is valid justification for withdrawal of the AAA designation. For this reason, the formal disapproval notification may be combined with procedures outlined in Chapter 4, Older Americans Act, Section 1, of this handbook or precede the de-designation process.

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**PURPOSE OF SECTION 3:**

This section addresses various aspects of monitoring and quality assurance for DOEA administered programs from the perspective of the Department, the Area Agency on Aging and service providers.

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## **I. MONITORING AND QUALITY ASSURANCE OVERVIEW**

- A. DOEA as A Pass-Through Entity:** The Department of Elder Affairs, as the designated State Unit on Aging (SUA) and pass-through entity, is responsible for monitoring the activities of subrecipients as necessary to ensure that state and federal awards are used in compliance with laws, regulations, contract provisions, and grant agreements. The Department is also responsible for achieving performance outcomes.
- B. Monitoring and Quality Assurance:** Monitoring is the review process used to determine a subrecipient's compliance with the requirements of state and federal programs, applicable laws and regulations, and required results and outcomes. Monitoring includes internal control review to determine if financial management and accounting systems are adequate to control and account for program funds in accordance with state and federal requirements. Quality assurance is the comprehensive approach of reviewing, assessing, evaluating, and improving the quality of services provided by subrecipients, subgrantees and service providers.

**Monitoring Focus:** The Department's subrecipient monitoring encourages proactive measures and addresses strategic areas or business processes that may impact services delivery. Key monitoring emphasis area include:

1. Corporate Governance and Oversight;
2. Effective Internal Controls Establishment and Implementation;
3. Effective and Efficient Public Resources Management;
4. Continuous Improvement of Business Processes and Service Delivery;
5. Administrative, Operational and Fiscal Oversight and Subrecipient Monitoring;
6. Quality Assurance and Standards of Care; and
7. Legislatively Mandated Performance Outcome Measures.

**C. Monitoring Premises:** Area Agencies on Aging are designated local level administrative entities that plan and coordinate federal and state funded services and local services.

Area Agencies on Aging establish and maintain an effective internal control system to ensure that:

1. Program goals and outcome measures are met;
2. Resources are safeguarded and properly accounted for;
3. Laws and regulations are followed;
4. Reliable data is obtained, maintained, and fairly disclosed;
5. Significant or material events with a potential impact on service delivery or quality are promptly communicated verbally and in writing; and
6. Generally accepted good practice standards are followed in delivering timely high quality services to clients.

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## **II. ROLES AND RESPONSIBILITIES:**

- A. DOEA's Role and Responsibility:** As the pass-through entity, the Department is responsible for ensuring all federal funds it receives, including those passed through to subrecipients and contractors, are used solely for program-related purposes.
- B. AAA's Role and Responsibilities:** As the DOEA subrecipient, the AAA is responsible for complying with all subaward and contract agreement requirements and the applicable laws and regulations resulting from receiving federal and state funds. These responsibilities include:
1. Ensuring the AAA has a procurement, property management and financial management system that properly accounts for all program activities, equipment and expenditures.
  2. Establishing program budgets and a method for tracking actual costs against the budget.
  3. Keeping abreast of grant and program changes affecting AAA policies, procedures, and requirements.
  4. Developing and submitting an annual AAA subrecipient and subcontractor monitoring plan.
  5. Informing subrecipients and subcontractors of compliance requirements and monitoring their compliance.
  6. Reviewing subrecipients and subcontractors' single audit reports, issuing management decisions within six months of audit findings and ensuring that subrecipients take effective and timely corrective action.
  7. Requiring subrecipients and subcontractors to grant Department representatives' access to original and complete records for monitoring.
  8. Ensuring the AAA's subrecipient and subcontractor monitoring plan considers the following:
    - a. Total number of subcontracts;
    - b. A program description of each program being monitored;
    - c. Risk assigned for each subrecipient and contractor (see sample risk factors in Section VII).

**DEPARTMENT OF ELDER AFFAIRS PROGRAMS AND SERVICES HANDBOOK**  
**Chapter 1: DOEA Sponsored Programs: General Information, Planning Process & Aging Network, Monitoring, and Program Reporting Requirements**

**Section 3: Monitoring**

**Roles and Responsibilities**

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- d.** Previous monitoring year findings summary;
  - e.** Identification and communication of current or remaining issues, problems or deficiencies in writing;
  - f.** Corrective action plans and time schedule; and
  - g.** Complete and thorough follow-up on corrective actions taken. Including the review of supporting documentation and files to ensure required corrective action is implemented.
- C. Service Providers' Role and Responsibilities:** As the subrecipient or subcontractor, the service provider is responsible for complying with all subaward or contract agreement requirements, including compliance with laws and regulations related to receiving federal or state funds.

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### III. PROGRAM LEVEL REQUIREMENTS

- A. Allowed Activities:** Program funds can be used solely for allowable activities defined by the program requirements. Expenditures charged against state funds must be authorized by law and must meet the intent of the law. Payment for activities not required by or for the benefit of the program(s), are not allowed and must be treated as disallowed costs.

In accordance with Rule 3A-40.103, F.A.C., state funds expenditures for items listed below are prohibited unless expressly provided by law:

1. Congratulatory telegrams;
2. Flowers and/or telegraphic condolences;
3. Presentation of plaques for outstanding service;
4. Entertainment for visiting dignitaries;
5. Refreshments such as coffee and doughnuts;
6. Decorative items (globes, statues, potted plants, picture frames, etc.) and
7. Greeting cards.

Only costs that are directly attributable to specific work activities under a grant or program that are part of the normal administration of the program are allowable for reimbursement.

- B. Allowable Cost/Cost Principles:** Program funds can be used for allowable expenditures only and must be recorded in accordance with cost principles as defined by the applicable OMB Circular. To qualify for reimbursement, program costs:

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1. Be necessary and reasonable for proper and efficient program administration (and allowable under the provisions of the applicable cost principles). Reasonable considerations include the following:
  - a. The restraints or requirements imposed by such factors as sound business practices, arms-length bargaining, laws and regulations, and terms and conditions of the program;
  - b. The market price for comparable goods and services;
  - c. Whether the individuals involved acted prudently considering their responsibilities to the agency, the public at large, and the granting agency; and  
  
Whether the costs were incurred in accordance with applicable state procurement policy.
2. Conform to any limitations or exclusions set forth in federal or state laws, or other governing limitations as to types or amounts of cost items.
3. Be consistent with policies, regulations, and procedures that apply uniformly to both financially assisted activities and to other activities of the entity.
4. Treated consistently. A cost may not be assigned to a program as a direct cost if any other cost under the same or like circumstances have been charged to a program as an indirect cost.
5. Be determined in accordance with generally accepted accounting principles (GAAP).
6. Not be allocable to or included as a cost of any other federal, state or other agency financed program in either the current or prior period.
7. Be net of all applicable credits (program generated income).
8. Be supported by the entity's accounting records and be adequately documented.

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- C. Eligibility:** Program funds can be expended only for the benefit of persons meeting certain eligibility criteria. In addition to compliance requirements related to individual program or service recipients, eligibility also governs the following:
- 1. Eligibility for group of individuals or area of service delivery:** Only eligible groups of individuals or individuals in an area of service can participate in the program.
  - 2. Eligibility for subcontractors:** Department funds subawards can be made only to eligible providers and must be in accordance with program requirements.
- D. Equipment and Real Property Management:** Title to equipment and real property acquired by a nonfederal entity with federal funds vest with the nonfederal entity (AAA), however, requests for disposition must be approved by the Department. An inventory listing of property acquired with federal funds must be maintained with the following data elements in accordance with 2 CFR 215 (formerly OMB Circular A-110):
- 1.** A description of the equipment;
  - 2.** Manufacturer's serial number, model number, federal stock number, national stock number, or other identification number;
  - 3.** Source of the equipment, including the award number;
  - 4.** Indication whether title vests with the recipient or the federal government;
  - 5.** Acquisition date (or date received, if the equipment was furnished by the Federal Government) and cost;
  - 6.** Information from which one can calculate the percentage of federal participation in the cost of the equipment (not applicable to equipment furnished by the federal government);
  - 7.** Location and condition of the equipment and the date the information was reported;
  - 8.** Unit acquisition cost; and

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9. Ultimate disposition data, including date of disposal and sales price, or the method used to determine current fair market value where a recipient compensates the federal awarding agency for its share.
- E. Matching, Level of Effort, and Earmarking:** Program funds must be spent and matched in accordance with specified program requirements. Matching level of effort, and earmarking are defined as follows:
1. **Matching or cost sharing:** Refers to the portion of project or program costs not borne by the Federal Government, including requirements to provide contributions (a specified amount or percentage to match program award). Matching may be in the form of allowable costs from third party contributions and/or cash from nonfederal sources.
  2. **Level of effort:** Refers to the portion of time spent on a particular activity expressed as a percentage of the total activity. Includes requirements for a specified level of service to be provided from period to period; a specified level of expenditures from nonfederal or federal sources for specified activities to be maintained from period to period; and federal funds to supplement and not supplant nonfederal funding of services.
  3. **Earmarking:** Refers to requirements that specify the minimum or maximum amount or percentage of the program's funding that may be used for specified activities, including funds provided to the subrecipient.
- F. Period of Availability of Funds:** Grant funds are awarded for a specified time period, usually one year (except for some programs that have "carry forward" of funds). Federal and state regulations prohibit the use of funds from a grant award outside its specified timeframe. Unexpended surplus funds cannot be used beyond the period of availability and must be returned to the awarding agency. Under certain circumstances, if approved, unobligated balances may be carried over and charged for obligations in the subsequent period.
- G. Procurement:** The procurement requirement is established to ensure that goods and services are obtained in an effective manner and in compliance with laws and regulations, including prohibition of conflicts of interest, fair selection of vendors, and provision of open and free competition.

**H. Suspension and Debarment:** The suspension and debarment requirements prohibit nonfederal entities from contracting, or making covered transactions or subawards to parties that are suspended or debarred, or whose principals are suspended or debarred. Covered transactions include procurement contracts for goods and services equal to or in excess of \$100,000. Potential reasons for suspension and debarment may include, but not be limited to, mismanagement of funds and non-compliance with laws and regulations.

**I. Program Income:** Program income is gross income received that is directly generated by the grant-funded program during the grant period. This type of income includes, but is not limited to, the following:

1. Fees for services performed;
2. Rental or lease of real or personal property acquired with program funds; and
3. Sale of commodities and program fabricated items.

Program income does not include interest on grant funds, rebates, credit discounts, refunds, and/or proceeds of the sale of equipment or property.

**J. Subrecipient Monitoring:** The subrecipient monitoring requirement establishes that any nonfederal recipient of federal assistance, which passes that assistance (in whole or in part) to another recipient, is responsible for monitoring the activities of that subrecipient as well as ensuring that they both comply with laws and regulations. A pass-through entity is responsible for identifying the following in regards to a subrecipient:

1. CFDA/CSDA title and number;
2. Award name;
3. Name of awarding agency; and
4. Applicable compliance requirements.

Compliance includes ensuring that required audits are performed, as well as evaluating the impact of subrecipient activities and ability to comply with the law.

#### **IV. RISK-BASED MONITORING APPROACH**

**A risk-based monitoring approach involves identifying areas of risk and prioritizing monitoring around those risks.**

**Risk Assessment Considerations:** In delivering client services, risk exist at two levels – the program level and the sub recipient/subcontractor level.

- A. Risk assessment considerations at the program level include, but are not limited to, the following:**
- 1. Program history** - Is it a new or long-established program or service? Have significant changes occurred?
  - 2. Total funding** - Does this contract represent a significant portion of the total program funding?
  - 3. Complexity** - Are program requirements simple or complex?
  - 4. Client health and safety** - How vulnerable are the clients that the program serves?
  - 5. Responsibility for key decisions** - Does the state agency, federal government, or the contractor make decisions about eligibility and amount or type of service to be provided to a client? For federal funds, is the contractor a vendor or subrecipient?
  - 6. Federal risk assessment** - Has the U.S. General Accounting Office and U.S. Office of Management and Budget identified the program as high risk?
  - 7. Payment method** - What type of payment method is used (e.g., cost reimbursement, unit rate, performance-based)? What experience does the Department have with the method?
  - 8. Competition** - Are contracts awarded on a competitive basis, which includes detailed evaluations of the service proposal, costs and contractor qualifications, or are they awarded on an entitlement, sole source or non-competitive basis?
  - 9. Monitoring methods** - Are the existing methods of monitoring effective for this program? Do these monitoring methods effectively mitigate the other types of possible risks?

**Section 3: Monitoring**

**Risk-Based Monitoring Approach**

10. **Client choice** - Is the client able to choose or select the service provider as required by some federal programs?

**B. Risk assessment considerations at the client service subrecipient/contractor level include, but are not limited to, the following:**

1. **Total funding that the contractor receives from the Department** – Is the amount or percentage of total funding small or large? Does the contractor have only a few contracts or several contracts with the state?
2. **Multiple funding sources** - Is the contractor receiving funding from several sources for similar services? Are multiple funding sources involved and to what extent?
3. **Collaboration** – Has the contractor established and promoted a collaborative relationship between itself and all of its funded service providers?
4. **Length of time in business** - Has the contractor been in business for several years or is it a new client service provider?
5. **Experience and past performance** - Does the contractor have contracts for similar services with other governmental entities? How extensive is the contractor's experience with the state for the types of services being provided?
6. **Accreditation/licensure** - Are contractors subject to accreditation or licensure requirements?
7. **Financial health and practices** - Is the contractor's financial condition good or poor? Does the contractor demonstrate sound financial practices? Is the contractor's financial recordkeeping system adequate for the number and complexity of funding? Is the contractor's cost allocation methodology equitable?
8. **Current and prior audit experience** - Has the contractor had weaknesses in internal control over federal or state programs?
9. **Oversight exercised by funding agencies** - Has there been monitoring or other reviews by any funding agency that could indicate the degree of risk? Is the contractor proposing to operate under a waiver from customary program and financial management requirements?

- 10. Board of Directors** - If the contractor is a nonprofit organization, does the board take an active role in directing the organization, establishing management and programmatic (accounting, fiscal, procurement, etc.) policies and procedures and monitoring the organization's financial and programmatic performance?
- 11. Subcontracting** - Does the contractor subcontract key activities? Does the contractor have an effective monitoring function to oversee these subcontracts?
- 12. Organizational changes** - Has there been frequent turnover of contractor management, senior accounting staff, or key program personnel? Has the contractor taken on new services within the last 12 months? Has the contractor experienced a recent rapid growth, or downsizing? Has the contractor experienced reorganization within the last 12 months? Has the contractor changed major subcontractors?
- 13. Management structure** - Is the organization centralized or decentralized? How much control does the organization have over decentralized functions?
- 14. Legal actions** - Have any lawsuits been filed against the contractor within the last 12 months? Has any employee, officer and/or board member been involved in or alleged to have been involved in any allegations of fraud or malfeasance?
- 15. Defaulted contracts** - Has the contractor defaulted on any of its contracts within the past five years? If so, what were the circumstances?

**C. Other risk assessment considerations:**

1. Type and number of prior period findings;
2. Overall effectiveness of administrative and fiscal controls;
3. Unresolved prior-period findings;
4. OMB Circular A-133 "High Risk" designation;
5. Management (DOEA/AAA) concerns/issues;
6. Agency management, staff and key employee turnover;

7. Ineffective subrecipient monitoring and oversight;
8. Weak and/or ineffective internal controls;
9. Conflicts of interest, fraud, unethical or illegal acts; and
10. Quality of care concerns.

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## **V. ANNUAL MONITORING METHODOLOGY**

**Monitoring Approach:** The Department may use, but is not limited to, one or more of the following methods:

- A.** Desk reviews and analytical reviews;
- B.** Scheduled, unscheduled, and follow-up on-site visits;
- C.** Client visits;
- D.** Review of independent auditor's reports;
- E.** Review of third-party documents and/or evaluation;
- F.** Review of progress reports;
- G.** Review of customer satisfaction surveys;
- H.** Agreed-upon procedures review by an external auditor or consultant;
- I.** Limited-scope reviews; and
- J.** Other procedures as deemed necessary.

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## **VI. DOEA AREA AGENCY ON AGING MONITORING**

**Focus Areas:** The Department is responsible for monitoring the AAAs to ensure compliance with contract obligations, and federal and state rules and regulations. Areas reviewed shall include, **but are not limited to**, the following:

### **A. ORGANIZATION GOVERNANCE, LEADERSHIP, AND ADMINISTRATION**

1. Board of Directors Governance and Oversight
2. Single Audit Act Compliance
3. Legislative/Strategic Outcome Measures
4. Prior Period Findings/Corrective Actions

### **B. AAA OPERATIONS - EFFECTIVENESS, EFFICIENCY AND APPROPRIATENESS OF SERVICE DELIVERY:**

1. Prioritization and Targeting
2. Service Delivery/Client Satisfaction
3. Grievance Procedures/Client Complaints
4. Budgeting and Utilization of Resources
5. Information and Referral (OAA-IR)

### **C. REGULATORY/CONTRACTUAL COMPLIANCE - FEDERAL AND STATE PROGRAMS:**

1. Emergency Home Energy Assistance for the Elderly Program
2. Nutrition Programs—OAA Title IIIC1 and IIIC2;
3. Health Promotion—OAA Title IIID
4. National Family Caregiver Support Program – OAA Title IIIE
5. Serving Health Insurance Needs of Elders
6. Elder Abuse Prevention – OAA Title VII

**D. FINANCIAL MANAGEMENT, INTERNAL CONTROLS AND SUBRECIPIENT MONITORING:**

1. Subrecipient Monitoring and Oversight – Fiscal Only
2. Subrecipient Monitoring and Oversight – Program Only
3. Accounting, Fiscal and Operational Controls
4. Co-Payments
5. In-Kind
6. Property Acquisition and Accountability
7. Internal Controls
8. Procurement and Contracting

**E. INFORMATION MANAGEMENT AND DATA INTEGRITY: Client Data Integrity**

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**VII. AREA AGENCY ON AGING MONITORING OF SUBRECIPIENTS/  
CONTRACTORS/PROVIDERS**

The Area Agency on Aging shall monitor its subrecipients/contractors in accordance with its contract and/or agreement with each entity.

As part of its monitoring process, DOEA will review the Area Agency on Aging's subrecipient, contractor, subcontractor and vendor monitoring reports.

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## **ATTACHMENT A: GOVERNING LAWS, REGULATIONS AND STATUTORY REQUIREMENTS**

- A. Governing Laws and Regulations include, but are not be limited to, the following:**
- 1. Origin and Source of Grant Requirements:** Grant and financial award requirements originate from several sources, including the following:
    - a. U.S. Constitution;
    - b. Statutes and Executive Orders;
    - c. Grant Enabling Statutes;
    - d. OMB Circulars and Codes of Federal Regulations (CFR); and
    - e. Public Policy Requirements;
  - 2. Public Policy Requirements:** As a condition of receipt, federally-funded programs are governed by a myriad of federal rules and regulations. These rules and regulations apply to virtually all programs funded by federal resources and are as follows:
    - a. **Civil Rights Act of 1964:** Prohibits discrimination on the basis of race, color or national origin in all federally funded programs.
    - b. **45 CFR Part 80:** Regulates implementation of Civil Rights Act of 1964.
    - c. **Age Discrimination Act of 1975:** Prohibits discrimination on the basis of age in federally funded programs.
    - d. **45 CFR Part 90:** Regulates implementation of Age Discrimination Act of 1975.
    - e. **Americans with Disabilities Act of 1990, Public Law (P. L.) 101-336:** Prohibits discrimination on the basis of disability and provides equal opportunities in employment, state and local governmental entities, public accommodations, transportation and telecommunications for persons with disabilities.

- f. **28 CFR Part 35:** Regulates implementation of Subtitle A of Title II of the Americans with Disabilities Act of 1990

**3. Government Imposed Restrictions:**

- a. **Debarment and Suspension (Executive Order 12549):** Prohibits doing business with persons suspended or barred from doing business with any agency of the executive branch.
- b. **45 CFR Part 76:** Regulates implementation of Executive Order 12549, certifying that contractors have not been declared ineligible for participation in public transaction by a federal department or agency.
- c. **Anti-Lobbying Act (P.L. 101-121 Section 319):** Prohibits contractors of federal contracts, grants and loans from using appropriated funds for lobbying the executive or legislative branches of the federal government in connection with a specific contract grant or loan.
- d. **Section 1352, Title 31 U.S.C:** Regulates implementation of the Anti-Lobbying Act. Contractor receiving more than \$100,000 per award of federally appropriated funds per fiscal year must certify that they will not use these funds to pay lobbying activities. They must also disclose each instance of lobbying that does occur.
- e. **Drug-Free Workplace Act of 1988 (41 U.S.V 702 et seq.):** Requires contractors and grantees of federal agencies to certify that they will provide drug-free workplaces. **(P.L 100 - 690)**
- f. **45 CFR Part 82:** Regulates implementation of Drug-Free Act of 1988.
- g. **Section 504 of the Rehabilitation Act of 1973:** Prohibits discrimination on the basis of handicap in federally funded programs.
- h. **Health Insurance Portability and Accountability Act (HIPAA) of 1996 (P.L. 104-191, Sections 261-264):** Requires covered entities to comply with HIPAA standards for the electronic exchanges, privacy and security of health information.
- i. **Domestic Volunteer Act (P.L. 93-113):** Senior Companion Sections 430.07-430.071, Florida Statutes.
- j. **45 CFR Part 84:** Regulates implementation of uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments.

**4. Cost/Administrative Requirements:**

- a. Cash Management Improvement Act of 1990 (P.L. 101-453):** Requires the timely transfer of funds between a federal agency and a state agency to encourage development of efficient cash management systems.
- b. Program Fraud Civil Remedies Act of 1986 (P.L. 99-509):** Establishes administrative procedures for imposing civil penalties and assessments against persons who make, submit, present, or cause to be made, false, fictitious, or fraudulent claims or written statements to authorities or to their agents.
- c. Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224):** Provides criteria for distinguishing whether a transaction is procurement or financial assistance.
- d. 2 CFR Part 215 and OMB Circular A-102:** Grants and Cooperative Agreements with States and Local Governments.
- e. 2 CFR Part 225 (OMB Circular A-87):** Cost Principles for State, Local and Indian Tribal Governments.
- f. 2 CFR Part 230 (OMB Circular A-122):** Cost Principles for Nonprofit Organizations.
- g. Federal Acquisition Regulation (FAR ) Part 31.2:** Cost Principles for Commercial Organizations.
- h. 2 CFR 215 (formerly OMB Circular A-110):** Regulates implementation of uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other nonprofit organizations.
- i. 45 CFR Part 74:** Regulates implementation of uniform administrative requirements for awards and sub-awards to institutions of higher education, hospitals, other nonprofit organizations and commercial organizations.
- j. 45 CFR Part 1321:** Regulates implementation of the Older American Act of 1965 as amended.

5. **Audit Requirements:** Set forth contractual requirements for compliance with OMB Circular A-133 and Section 215.97, F.S., Florida Single Audit Act, if funding threshold is met.
  - a. **OMB Circular A-133:** Audits of States, Local Governments and Nonprofit Organizations.
  - b. **Government Auditing Standards:** Yellow book.
  
6. **Statutory Authority for Federally-funded Programs:**
  - a. **Older Americans Act of 1965, as amended (P.L. 106-501):** Title III-B (Supportive Services), Title III-C1 and III-C2 (Congregate and Home delivered Meals), Title III-D (Health Promotion), Title III-E (National Family Caregiver Support), Title VII (Elder Abuse Prevention) and Nutrition Services Incentive Program (NSIP), Title V (Senior Community Service Employment Program, AmeriCorps).
  - b. **Low Income Home Energy Assistance Act of 1981 (P.L. 97-35):** 42 United States Code 8621 et. seq.; 45 CFR 96.48; Section 409.508, Florida Statutes. Emergency Home Energy Assistance for the Elderly Program (EHEAP).
  - c. **Omnibus Budget Reconciliation Act of 1990:** Section 4360; Section 430.07, Florida Statutes.
  - d. **Citizens Service Act of 2002:** Amends the National AmeriCorps and Community Service Act of 1990; Domestic Volunteer Act of 1973; Section 430.07(8), Florida Statutes.
  - e. **Title V of the Older American Act (P.L. 106-501):** 42 United States Code 3001 et seq.

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**B. Governing State Laws and Regulations:**

1. Sections 430.201-203-205, F.S., Community Care for the Elderly (CCE)
2. Sections 430.601-603, F.S., Home Care for the Elderly (HCE)
3. Sections 430.501-504, F.S., Alzheimer's Disease Initiative (ADI)
4. Section 430.071, F.S., Respite for Elders Living In Everyday Families (RELIEF)
5. General Appropriations Act – Local Service Programs (LSP)
6. DOEA Rules, Regulations and Notices of Instruction (NOIs)
7. Agreements and/or contracts.

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**PROGRAM REPORTING REQUIREMENTS:**

Program reports must be prepared and submitted as specified in DOEA contracts.

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