

AGING RESOURCE CENTER TRANSITION PLAN

TEMPLATE



Released November 2004

ARC TRANSITION PROPOSAL

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**ARC TRANSITION PROPOSAL
CERTIFICATION PAGE**

AREA AGENCY ON AGING INFORMATION:

Executive Director:

Legal Name of Agency:

Mailing Address:

Telephone: []

FEDERAL ID NUMBER :

CERTIFICATION BY AREA AGENCY ON AGING BOARD PRESIDENT

I have reviewed and approved this proposal to transition to an Aging Resource Center/Aging and Disability Resource Center by July 1, 2005. As chair of the Area Agency on Aging board, I assure that the Area Agency on Aging, which this board oversees, meets all of the minimum requirements set by law and in rule.

(insert area agency name)

Name: _____ Signature: _____ Date: _____
(President, Board of Directors)

I certify that the contents are true, accurate and complete statements. I acknowledge that intentional misrepresentation or falsification may result in the termination of financial assistance.

Name: _____ Signature: _____ Date: _____
(Area Agency on Aging Director)

Template for ARC Transition Plan

Section I: Minimum Review Standards

- 1.1 AAA must develop a plan to acquire the qualifications listed in the Implementation Plan. This plan must address the following elements as outlined in Sections 4.0 through 4.4.3 of the Implementation Plan:
 - 1.1.A Organization and Governance, including discussion of the membership and role of the local coalition work group, identification of the ARC governing body, selection of an ARC executive director, process for transitioning direct services to other providers in the PSA.
 - 1.1.B Capacity Standards, including capacity to serve clients in all counties in the PSA; capacity to accept multiple funding source public dollars and payment from private sources; capacity to contract with individuals, with for-profit entities, and with not-for-profit entities to provide some or all ARC functions (with prior approval from DOEA); capacity to receive funds from public or private foundations and corporations; capacity to comply with performance standards established by DOEA; capability to protect the confidentiality of applicant and recipient records in accordance with state and federal laws; capability to establish quality assurance policies, procedures, and systematic actions addressing: service standards, performance management, and client satisfaction; shall not operate in a manner to restrict, manage or impede the local fund-raising activities of service providers.
 - 1.1.C Personnel System, including system for recruiting, hiring, evaluating, and terminating employees; employment policies and practices complying with all federal and state affirmative action and civil rights requirements; written job descriptions for all positions; annual reviews of employees.
 - 1.1.D Accounting System, including assurances that ARC will follow generally accepted accounting practices and comply with all rules and regulations for accounting practices set forth by the state; use funds solely for authorized purposes; file all financial documents in a systematic manner to facilitate audits; maintain all prior years' expenditure documents for use in the budgeting process and for audits; make records and source documents available to the Department, its representative, or an independent auditor for inspection, audit, or reproduction during normal business hours; be audited annually, submit the final report of the audit to the Department within six months after the end of the state's fiscal year, and resolve audit findings and recommendations in a timely and appropriate manner.
 - 1.1.E Information Management, including policies which provide for the

collection and reporting of summary and client-specific data in a format specified by the state; computer hardware and software, compatible with the Department's computer systems, and with such capacity and capabilities as prescribed by the Department; adequate staff support to maintain a computerized information system in accordance with the Department's requirements; utilization of the DOEA standard information and referral system.

- 1.1.F Recordkeeping practices which assure maintenance of sufficient documentation in accordance with program requirements and federal and state laws, rules and regulations.
 - 1.1.G Confidentiality of Information policies which protect the confidentiality of all applicant and recipient records in accordance with state statute and HIPAA rules; ensure release of information forms obtained from the client will be signed, dated, and renewed at least annually, or sooner if providers change.
 - 1.1.H Staffing Standards, which include the following staffing patterns and qualifications:
 - 1.1.H.1 Staffing Patterns, which identify how the ARC will provide for the following functions: receptionist/clerical; administrative/supervisory; public awareness; information; referral and assistance; choice counseling, eligibility screening and determination; and triaging as outlined in Sections 5.0 through 5.4 of the Implementation Plan.
 - 1.1.H.2 Qualifications of Staff, which address the requirements in Section 4.4.2 of the Implementation Plan.
 - 1.1.I Liability Insurance Coverage, indicating adequate liability insurance (including automobile insurance, professional liability insurance and general liability insurance) to meet the Department's minimum requirements for contract agencies.
- 1.2 The AAA must provide evidence of consultation with existing Community Care for the Elderly lead agencies and other service providers within the Planning & Service Area.
- 1.3 The AAA must demonstrate expertise in the needs of each target population the center proposes to serve and a thorough knowledge of the providers that serve these populations.

1.4 The AAA must demonstrate strong connections to service providers, volunteer agencies, and community institutions.

1.5 The AAA must demonstrate expertise in information and referral activities, including capacity to handle an increased volume of calls.

1.6 The AAA must demonstrate knowledge of long-term-care resources, including resources designed to provide services in the least restrictive setting.

1.7 The AAA must demonstrate its financial solvency and stability.

1.8 The AAA must demonstrate the ability to collect, monitor, and analyze data in a timely and accurate manner, along with systems that meet the Department's standards.

1.9 The AAA must demonstrate commitment to adequate staffing by qualified personnel to effectively perform all functions (see 1.1.H above).

1.10 The AAA must demonstrate the ability to meet all performance standards established by the Department (see 1.1.B above).

Section II: Additional Review Items

2.1 The AAA must describe its capacity to collocate, physically or virtually, staff from DOEA CARES and DCF Economic-Self-Sufficiency performing medical, functional and public assistance eligibility determination; unless technical proficiency of virtual collocation is established, preference will be given to AAAs proposing physical collocation of eligibility staff.

2.2 The AAA must demonstrate effective utilization of public funds to maximize existing resources.

2.3 The AAA must demonstrate capacity to contract with individuals, with for-profit entities, and with not-for-profit entities to provide some or all Aging Resource Center functions.

- 2.4 The AAA must demonstrate compliance with state and federal complaint/grievance procedures.
- 2.5 The AAA must provide a plan for streamlined access to long-term supports so the intake, screening, and financial, technical and functional eligibility determination are closely coordinated in a seamless process for the consumer.
- 2.6 The AAA must demonstrate linkages with major pathways to long-term care, including hospital discharge planning.
- 2.7 The AAA must demonstrate involvement of key stakeholders and include letters of commitment from key participating organizations and agencies in the Appendix.
- 2.8 The AAA must demonstrate collaboration between health support and human service agencies, including housing and employment programs.
- 2.9 The AAA must identify strategies for outreach and marketing, which demonstrate increased targeting effectiveness.
- 2.10 The AAA must identify a clear delineation of roles and responsibilities of staff, consultants, subcontractors and other partner organizations.
- 2.11 The AAA must provide a plan for implementing local training of Information & Referral staff.
- 2.12 The AAA must identify a method for assuring cultural competency.
- 2.13 The AAA must provide a comprehensive plan for responding to disasters and continuing operations during a natural disaster.
- 2.14 The AAA must provide a plan for sustainability, which shall address alternative funding scenarios, one of these shall contemplate no additional state funding specifically appropriated for Aging Resource Center operations.

2.15 The AAA must demonstrate need for an ARC within the PSA. Provide a general description of the long-term care support system within the PSA, including an account of how the current system limits or facilitates individual choice and access for both public and private pay individuals. Identify current and proposed partnerships and collaborative steps necessary to address current problems.

Section III. Additional Requirements for Proposals to Transition to ADRCs

3.1 The AAA must demonstrate expertise in the needs of the target disability population of adults with severe mental illness.

3.2 The AAA must demonstrate linkages with local community mental health providers.

3.3 The AAA must provide a detailed line-item budget for use of ADRC funding. Identify how each line-item amount was computed. Provide narrative, where necessary, to explain use of funds. Note limitations in instructions on proposed uses of the federal grant funds.

Section IV. Other Information

4.1 Any additional information the Area Agency on Aging would like to provide relating to its plan to transition to an ARC.

Checklist to Assure Qualifications for Designation as an ARC/ADRC

1.1.B Capacity Standards [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall have the capacity to serve clients in all counties in the PSA;

_____ shall have the capacity to accept multiple funding source public dollars and payment from private sources;

_____ shall have the capacity to contract with individuals, with for-profit entities, and with not-for-profit entities to provide some or all ARC functions (with prior approval from DOEA);

_____ shall have the capacity to receive funds from public or private foundations and corporations; capacity to comply with performance standards established by DOEA;

_____ shall have the capability to protect the confidentiality of applicant and recipient records in accordance with state and federal laws;

_____ shall have the capability to establish quality assurance policies, procedures, and systematic actions addressing: service standards, performance management, and client satisfaction;

_____ shall not restrict, manage or impede the local fund-raising activities of service providers.

1.1.C Personnel System [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall have a system for recruiting, hiring, evaluating, and terminating employees;

_____ shall have employment policies and practices complying with all federal and state affirmative action and civil rights requirements;

_____ shall maintain written job descriptions for all positions;

_____ shall perform annual reviews of employees.

1.1.D Accounting System [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall follow generally accepted accounting practices and comply with all rules and regulations for accounting practices set forth by the state;

_____ shall use funds solely for authorized purposes;

_____ shall file all financial documents in a systematic manner to facilitate audits;

_____ shall maintain all prior years' expenditure documents for use in the budgeting process and for audits;

_____ shall make records and source documents available to the Department, its representative, or an independent auditor for inspection, audit, or reproduction during normal business hours;

_____ shall be audited annually, submit the final report of the audit to the Department within six months after the end of the state's fiscal year, and resolve audit findings and recommendations in a timely and appropriate manner.

1.1.E Information Management [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall, in a format specified by the state, be responsible for the collection and reporting of summary and client-specific data in a format specified by the state;

_____ shall have computer hardware and software, compatible with the Department's computer systems, and with such capacity and capabilities as prescribed by the Department;

_____ shall have adequate staff support to maintain a computerized information system in accordance with the Department's requirements;

_____ shall utilize the DOEA standard information and referral system.

1.1.F Recordkeeping [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall maintain sufficient documentation in accordance with program requirements and federal and state laws, rules and regulations.

1.1.G Confidentiality of Information [on line provided, indicate page number where information can be found in ARC Transition Plan]:

_____ shall protect the confidentiality of all applicant and recipient records in accordance with state statute and HIPAA rules;

_____ shall ensure release of information forms obtained from the client will be signed, dated, and renewed at least annually, or sooner if providers change.