



**Georgia Department
of Human Services**
Division of Aging Services



Area Plans

Build Accountability Into the Process

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stronger families

FOR A STRONGER GEORGIA



The Area Plan

- Older Americans Act Requirement (42 U.S.C. § 3027 (a)(1)(A))
 - SUA determines format
 - SUA determines process
 - Mandated content (42 U.S.C. § 3026)
 - Process flexible and may be used to satisfy other requirements/needs



Integrate Area Plan with other requirements

- SUA Duties:

- Planning, policy development, administration, coordination, priority setting, and evaluation of all State activities . . . (42 U.S.C. § 3025 (a)(1)(C))
- Develop policies governing all aspects of programs . . . responsible for enforcement of these policies (45 C.F.R. § 1321.11(a))
- Policies developed . . . shall address the manner in which . . . will monitor the performance of all programs and activities . . . for quality and effectiveness (45 C.F.R. § 1321.11 (b))



Integrate Area Plan with other requirements

- Uniform Grants Guidance
 - Effective internal control . . . comply with Federal statutes, regulations, and terms of award . . . monitor compliance (2 C.F.R. § 200.303)
 - Must monitor activities under Federal awards (2 C.F.R. § 200.328)
 - Evaluate risk to determine appropriate monitoring (2 C.F.R. § 200.331)
 - General focus on performance and accountability



High Performing Plans/Processes

High Performance Characteristics:

- Performance Based – desired outcomes are clearly defined and processes are designed to achieve results
- Data Driven – data are identified and collected to measure progress toward desired results and improve processes to achieve at a high level
- Continuous Process/Quality Improvement – performance is continually monitored and processes adjusted to more effectively achieve results. Build an infinite cycle of Plan-Do-Check-Act into processes (technique known as the Deming Circle)



High Performing Plans/Processes

High Performance Characteristics:

- Customer/Client Focus – Focus on outcomes affecting client
- Aligned with State Plan/other relevant planning – Ensure that individual area plans are consistent with statewide direction
- Appropriate internal controls – limit risk, protect the grantee and subrecipient



Annual Process: Develop and Operate Plan

Effective Date Minus 7 Months

1. Issue Area Plan Directions:

Explicit directions including requirements for format, content, goals, performance targets, and measures. Set deadline for completion and method for submission (paper, automated, etc.)

2. Issue Initial (Planning) Allocation of Funding:

Including all fund sources and programs, required match, allowable administrative costs, amounts “set aside” to comply with regulation, law, or legislative intent. Provide detail about allocation methodologies (IFF or other method) and describe significant changes to awards or relevant policy. Require competitive bidding and uniform cost estimates using unit costing or other appropriate method

Note that the completed area plans must include a completed budget in compliance with the allocation, and a narrative that details required content to comply with Older Americans Act, State policy, and other relevant policy, regulations and law.



Annual Process: Develop and Operate Plan

Effective Date Minus 7 Months to Minus 3 Months

1. Provide Technical Support/Guidance:

As Area Agencies develop Area Plans (or annual updates) provide policy and technical support to encourage correct completion of plan and budget



Annual Process: Develop and Operate Plan

Effective Date Minus 3 Months to Effective Date

1. Area Plans/Budgets Due to SUA:

Complete and correct plans due. AAA Directors certify compliance.

2. SUA Fiscal and Programmatic Review Begins:

SUA Program and Fiscal Staff review plans for completeness, accuracy, and compliance, and provide direction as to corrective action required. Policy waiver requests are considered and approved or denied. If necessary, plans are returned to AAA for correction.

3. Annual Risk Assessment Completed:

Standard risk assessment instrument used to evaluate risk associated with each Area Agency contract.

3. Contract Development:

Area Plan budgets, goals, performance targets, and measures become contract deliverables for upcoming year. Contract is reimbursement basis and performance based. Single contract developed to include all Area Plan programs/fund sources. Includes Business Associate Agreement.



Annual Process: Develop and Operate Plan

Effective Date

1. Plan, Budget, and Contract Take Effect:

Spending against new budget begins. Monitoring and evaluation against approved Area Plan goals, objectives, measures and performance targets begins.

2. Issue Amended Allocation of Funding:

To incorporate changes to funding levels from adjusted grants awards or legislative action. Instructions to Area Agencies are to amend budgets and area plans as required to comply with new funding levels. Deadlines are established, revised budgets and area plans are reviewed and approved (or returned for correction) and contract amendments completed.

3. Monitoring Activities Begin:

Monitoring against Area Plan contract deliverables, policy, regulations, law begins as appropriate to program and fund source.



Annual Process: Develop and Operate Plan

Monthly Activities

1. Monthly Reporting:

Area Agencies report service activity from the prior month at the client level, including units provided, fund sources used, and matching fund source. Activity records are consolidated into a reimbursement request. Group services and administrative cost actual expenditures are reported as lump sums.

2. Fiscal and Programmatic Review:

Reimbursement request is reviewed for accuracy, and compliance with contract, Area Plan, and policy/regulations/law. Programmatic desk reviews are completed to ensure compliant and sustainable service delivery. Errors are returned to the Area Agency for correction.

3. Payment Authorized:

Upon validation and approval of the monthly reimbursement request, payment is authorized.



Annual Process: Develop and Operate Plan

Periodic Activities

1. On Site Monitoring:

As appropriate to individual programs/activities, on site monitoring conducted to verify performance.

2. Issue Amended Allocation of Funding:

As necessary to incorporate changes to funding levels from adjusted grants awards or legislative action. Instructions to Area Agencies are to amend budgets and area plans as required to comply with new funding levels. Deadlines are established, revised budgets and area plans are reviewed and approved (or returned for correction) and contract amendments completed. May occur several times in a year. May include reallocation of funding due to lapse or other deficiency.

3. Mid Year Review:

Individual conferences with Area Agencies to review mid year performance and other issues. Includes executive to program level staff from AAA (and, if appropriate their parent organization) and SUA to ensure communication to all levels.



Annual Process: Develop and Operate Plan

Periodic Activities

4. Corrective Action

To address non-compliance or poor performance. May include additional technical assistance and monitoring, reduced funding, loss of programming, etc.

5. Training:

To establish and maintain proficiency. Communicate desired result and train processes. Use performance data to identify and design training opportunities.

6. Cooperative Issue Resolution:

Team approach to process development/improvement. Involve SUA and AAA staff to maintain open communication and build productive relationships. Schedule as needed but most effective when used proactively to address upcoming issues.



Annual Process: Develop and Operate Plan

Effective Date Plus 5 Months

- 1. Begin Area Plan Process for Succeeding Year:**
Process overlaps operation of current year

Effective Date Plus 12 Months

- 1. Current Year Plan and Budget End:**
Operation ends under current year contract.
- 2. New Year Plan and Budget Effective:**

Effective Date Plus 13 Months

- 1. Final Reporting and Payment:**
Reporting is finalized and final contract payment is authorized



Toolbox

- **Uniform Costing** – Implement a model/methodology to guide determination of consistent unit costs statewide for individual services. Use uniform unit definitions and cost components to support equitable service delivery statewide.
- **Continuous Process** – Integrate data collection from client services with payment processes to enforce compliance with grant regulations and provide a seamless audit trail.
- **Connect Planning and Resource Allocation** – to effectively support accomplishment of desired results.



Toolbox

- **Collect Data** – Identify data elements that are predictive of high performance. Use to set goals and track results. Develop analysis to use as a planning tool and to facilitate communication to stakeholders.
- **Compare Results** – Identify results from high performing organizations to compare with your own. Use to measure and evaluate processes and results.
- **External Review/Evaluation** – Periodically arrange for external evaluation of your organization, processes, and results to stimulate improvement.



Toolbox

- **Teams** – Involve individuals from multiple disciplines, backgrounds, and organizational levels to evaluate issues and develop solutions. The variety of perspective is valuable.
- **User Groups** – Develop user groups to develop and reinforce positive performance. Use frequent interaction to build relationships between SUA and AAA staff, identify opportunities for improvement, and recognize outstanding performance.



DISCUSSION?

QUESTIONS?

COMMENTS?



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