COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF AGING Harrisburg, PA 17101	PENNSYLVANIA DEPARTMENT OF AGING	
	1. File Number: APD # 07-01-09	**2. Disposition:** Rescinds and Replaces APD # 06-01-09
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	5. Program Area: AAA Administration	
6. Origin: Bureau of Program Integrity		**7. Contact:** Financial Operations Division (717) 265-7888

AGING PROGRAM DIRECTIVE

SUBJECT: **AREA AGENCY ON AGING (AAA) PROGRAM REQUIREMENTS, PLANNING ALLOCATIONS AND REPORTING REQUIREMENTS FOR THE PDA WAIVER PROGRAM AGREEMENT FOR FY 2007-08 AGING PROGRAM DIRECTIVE**

TO:

EXECUTIVE STAFF
BUREAU OF PROGRAM INTEGRITY
ADMINISTRATION ON AGING
AREA AGENCIES ON AGING
PA ASSOCIATION OF AREA AGENCIES ON AGING
OFFICE OF LONG TERM LIVING
PA COUNCIL ON AGING
BUREAU OF HOME & COMMUNITY BASED SERVICES
DPW, OFFICE OF PROGRAM DEVELOPMENT& SUPPORT
COMPTROLLER

FROM:

Nora Dowd Eisenhower
Secretary
Pennsylvania Department of Aging

PURPOSE: The purpose of this Aging Program Directive (APD) is to set forth procedures for the submission of the Fiscal Year (FY) 2007-08 PDA Waiver Agreement; transmit the FY 2007-08 funding levels for each Area Agency on Aging (AAA); and issue the monthly reporting documents to the AAA.

BACKGROUND: Prior to March 2007, the AAAs had the opportunity to request and receive an increase in the Department's PDA Waiver slot allocation to meet the presenting needs of older consumers. For the FY 2007-08, each AAA will continue to serve an active caseload as determined by the Department. The Department has issued an application allocation schedule, which identifies the number of new PDA Waiver applications that may be submitted by each AAA to the County Assistance Office (CAO) for approval.

For FY 2007-08, advanced instructions were sent out under separate cover entitled "Issuance of the W1108XXY.XLS and W1408XXY.XLS Reports" on

September 17, 2007. Supplemental instructions can be found in (WVRIN-08) for completion and the facsimile monthly reporting documents (W11O8XX.XLS and W1408XX.XLS), which are included in the APD # 07-01-09 folder in the AS400. To ensure timely payment to the aging network, each AAA must submit a monthly expenditure report to the Department.

NEW WAIVER ENROLLMENTS

The Department must approve all additional PDA Waiver applications including diversions and transitions that exceed the AAA's application allocation. To request additional application allocations, the agency must e-mail the request to WaiverAllocations@state.pa.us. Any application for a Medicaid Nursing Facility Clinically Eligible (NFCE) consumer transitioning from a nursing facility to the community does not need to be submitted in advance; however, every nursing home transition must be reported to the Department.

WAIVER ALLOCATIONS

For the FY 2007-08, the initial Waiver budget allocations identified on Attachment #1 (WVATACH1) are based on the number of active PDA Waiver consumers in each AAA as of 9/30/2007. This is the estimated number of active consumers served monthly for the purpose of developing budgets. This allocation is for budgeting purposes only and actual expenditures must be based on the actual cost to maintain the average monthly Waiver caseload using the $262 administrative overhead cost allowance as the upper limit. Staffing and other expenditures should be adjusted appropriately based on the active caseload. The Department will amend individual AAA PDA Waiver budgets during the state fiscal year based on each AAA's level of program activity.

In addition to the baseline allocations, each AAA will receive a budget allocation for continuing the Nursing Home Transition (NHT) initiative as outlined in the NHT Section of the APD. The Allocation for NHT is identified on Attachment #2 (WVATACH2).

NURSING HOME TRANSITION FUNDING

The Department has included in Attachment 2 a list of the NHT funding that has been allocated for the first six months of this State Fiscal Year (SFY).

Each AAA will be reimbursed for expenditures based on performing new functions to support expanded outreach and education to all new nursing home admissions.

Activities: Each AAA must report expenditures to carry out NHT activities. The activities include:

a. Trainings and meetings with the Department to plan and prepare for NHT activities;

b. Trainings and meetings within an AAA for strategic planning purposes;

c. Coordinated visits and cross training with existing NHT Collaborative Plan Partner Agencies to plan and prepare for NHT activities;

d. Meetings with nursing facility directors to enhance cooperation;

e. Meeting with new partner agencies and community supports (i.e. local housing authority,

United Way, CAO, etc.) to plan and prepare for NHT activities;

f. Staff time dedicated to building local capacity to serve NHT consumers who may not be eligible for state funded programs;

h. Staff time dedicated to data reporting on NHT activities;

i. Retrieving, sorting and organizing the MDS data;

j. Staff and management time dedicated to planning outreach, education and transition activities;

k. Staff time dedicated to visiting consumers on the MDS list;

l. Staff time dedicated to following up with discharge planners on consumers with scheduled discharge dates; and

m. Other activities directly related to support the NHT initiative.

First Half Incentive

Each AAA is being offered an incentive payment of up to $15,000 for meeting the Departments First Half Goal as indicated on Attachment #2 (WVATACH2). The AAAs will become eligible for this incentive after meeting a minimum of 25% of the First Half Goal. Upon reaching 25% of the number of consumers to be transitioned, the incentive will be awarded on a prorated basis until the AAA's allocation is complete. The AAAs have until December 31, 2007, to meet the First Half Goal.

INCENTIVE PAYMENT PROVISIONS

The AAAs will receive Waiver Allocation payments including the NHT incentive funds based upon the data submitted in the monthly fiscal reporting documents that are supported by data reported in the NHT data reporting module in OMNIA. The goal based incentive funds will be awarded on a periodic basis to each AAA after 25% of the established goals have been attained.

PROGRAM REQUIREMENTS

The AAAs must comply with the requirements set forth in the Home and Community Based Services (HCBS) Procedure Manual to determine eligibility and to provide service to approved consumers. All consumer information and service plan data must be entered into SAMS.

BUDGET SUBMISSION REQUIREMENTS

The Department has completed an initial budget for AAAs based on the initial budget from FY 2006-07. The current agreement is a five (5) year agreement with all initial budgets at the FY 2006-07 initial level. AAAs are required to submit amended budgets for FY 2007-08 or forwarding the amended allocation schedule. The amended budget files are due November 30, 2007.

One copy of the Application for Support for the PDA Waiver Program (WVRAPP-08), included in the APD # 07-01-09 folder on the AS400, must be completed with original signatures and forwarded to

the Department by December 31, 2007. Upon receipt of this document, the Department will process the agreement and return the approved agreement to the AAA.

FISCAL REPORTING SUBMISSION REQUIREMENTS

The Excel files, W1108X.XLS and W14O8XX.XLS, included in the folder on the AS400, must he completed and submitted to the Department monthly. In order to submit the file, the AAA must run a macro to create the PRN text files and place the PRN files in the AAA folder on the AS400 as the AAA monthly expenditure report. The Department will use these files to reimburse AAAs for the PDA Waiver expenses incurred during the month.

Procedures for completing the Excel files, running the macro, and submitting the PRN files can he found in the "Procedures for AAAs to Submit Program Reports to the Department" located in the BUDZIPO8.exe file or the PFRZIPO8.exe files located in the AAAEXCEL folder on the AS400.

FISCAL REPORTING DUE DATES

The AAAs must transmit the fiscal reporting documents by the date listed on the schedule below.

Report	Month	Due Date
1	July	November 30, 2007
2	August	November 30, 2007
3	September	November 30, 2007
4	October	November 30, 2007
5	November	December 31, 2007
6	December	January 31, 2008
7	January	March 2, 2008
8	February	March 31, 2008
9	March	April 30, 2008
10	April	May 31, 2008
11	May	June 30, 2008
12	June	August 15, 2008

TECHNICAL ASSISTANCE

The Financial Operations Division should be contacted with any questions regarding the completion of the budget and all reporting requirements. Please contact Mr. Lou Sprague at (717) 772-0206. If technical assistance is needed for the electronic transmission, the AAAs are instructed to contact the Management Information Systems (MIS) Division of the Department, at (717) 783-3126.

DOCUMENT WVO1-08
PDA Waiver Budget

The Waiver budget line item categories should be completed so that the major expense categories are consistent with how similar items are captured on the line item budget. The budgeted expenditures for Nursing Home Transition (Column D) must at least be equal to the Nursing Transition Allocation on the Allocation Schedule.

I. Enter on Lines 1 through 7, Columns A, B, and C, the budgeted salary and wage amounts for indicated staff by the appropriate cost center.

2. Enter on Lines 1 though 7, Column D, the expenditures for staff that perform Nursing Home Transition activities.

3. Enter on Line 9, Columns A, B, C and D, the expenditures for fringe benefits.

4, Enter on Lines 11 and 12, columns A, B, C and D, the expenditures for occupancy and communication (include the cost of Internet access in communications).

5. Enter on Lines 13 and 14, columns A, B, C and D, the expenditures for supplies, minor equipment and repairs. Minor equipment includes single item purchases of less than $5,000 with a useful life of less than one year. Computer equipment, furniture and fixtures costs are calculated for each item and not as a total purchase (Include software as a minor equipment cost).

6. Enter on Line 16, Columns A, B, C and D, the budgeted amount for staff transportation expenditures.

7. Enter on Lines 17 through 23, Columns A, B, C and D, the expenditures for contracted services.

8. Enter on Lines 25 through 27, Columns A, B, C and D, the expenditures for other operating expenditures.

9. Enter on Line 29, Column A, the budgeted amount of indirect cost from the agency's indirect cost plan that is chargeable to this agreement. Indirect costs may not exceed 2% of direct service costs. For the purpose of this agreement, direct service costs include Care Management, Provider Certification and Nursing Home Transition.

10. Enter on Line 30, Columns A, B, C and D, the budget amount for fixed asset purchases.

11. Enter on Line 32, Columns A, B, C and D, the budgeted amount of 50/50 Federal Financial Participation (FFP). The total that appears in Column E must be equal to the total Waiver Allocation less the skilled medical portion and the incentive goal funds.

12. Enter on Line 33, Columns B and D, the skilled medical portion of the Waiver allocation that is budgeted for each category. The amount in Column E must be equal to the Skilled Medical Allocation on Attachment #1 (WVATACH1).

13. Check the entry on Line 34, Column E, to ensure it is equal to the total Waiver Allocation on Attachment #1, (WVATACH1).

14. Enter on Line 35, Columns A, B, C and D, budget amounts that exceed available funds from the Waiver Allocation.

15. Enter on Line 36, Column D, the amount of the incentive goal. This amount of funding should not be included in the Total Budget amount on Line 31, Column D. These funds are provided as an incentive to the AAA upon meeting the goals established on the allocation schedule.

NOTE: The Totals indicated on Line 31, Columns A, B, C and D must be equal to the sum of Lines 34 and 35 for the same column.

AAA=xx Period=01	A AAA Admin.	B. Care Management	C. Provider Cert.	D. Nursing Home Transition	E. Budget Total
Personnel 1. Unit Director	0	0	0	0	0
2. Supervisor(s)	0	0	0	0	0
3. Care Manager/ Vendor Manager	0	0	0	0	0
4. Clerical	0	0	0	0	0
5. Other	0	0	0	0	0
6. Other	0	0	0	0	0
7. Other	0	0	0	0	0
8. Total Salary	0	0	0	0	0
9. Fringe Benefits	0	0	0	0	0
10. Total Personnel	0	0	0	0	0
11. Occupancy	0	0	0	0	0
12. Communications	0	0	0	0	0
Supplies & Equipment 13. Supplies	0	0	0	0	0
14. Minor Equipment/ Repairs	0	0	0	0	0
15. Total Supplies/ Equipment	0	0	0	0	0
16. Transportation	0	0	0	0	0
Contract Services 17. Other	0	0	0	0	0
18. Other	0	0	0	0	0
19. Other	0	0	0	0	0
20. Other	0	0	0	0	0
21. Other	0	0	0	0	0
22. Other	0	0	0	0	0

23. Other	0	0	0	0	0
24. Total Contract Services	0	0	0	0	0
Other Operating 25. Insurance	0	0	0	0	0
26. Misc. (Training)	0	0	0	0	0
27. Miscellaneous/Other	0	0	0	0	0
28. Total Other Operating	0	0	0	0	0
29. Indirect Cost	0	0	0	0	0
30. Fixed Assets	0	0	0	0	0
31. Total Budget	0	0	0	0	0
32. 50/50 FFP	0	0	0	0	0
33. 75/25 FFP	0	0	0	0	0
34. Waiver Allocation Total	0	0	0	0	0
35. Other Funds	0	0	0	0	0
36. NHT Goal Based Incentives Achieved	0	0	0	0	0

DOCUMENT WV03008

Staff Summary

1. Enter on each line for each column the number of FTE staff being assigned to each component of the Waiver Program.

NOTE: Display entries to the nearest two decimal points (i.e. 1.10, 2.25, etc.)

Staff Summary - Waiver Program Information **WV03-08**

AAA=xx Period=01	A. AAA Administration	B. Care Management	C. Provider Certification	D. Nursing Home Transition
1. Unit Director	0.00	0.00	0.00	0.00
2. Supervisor(s)	0.00	0.00	0.00	0.00
3. Care Manager/ Vendor Manager	0.00	0.00	0.00	0.00
4. Clerical	0.00	0.00	0.00	0.00
5. Registered Nurse	0.00	0.00	0.00	0.00
6. Other	0.00	0.00	0.00	0.00
7. Other	0.00	0.00	0.00	0.00
8. Total	0.00	0.00	0.00	0.00

DOCUMENT WVO4-O8
PDA Waiver Budget for Skilled
Professional Medical Personnel

AAA's budgeted 75/25 FFP includes only skilled medical personnel costs incurred in the performance of care management activities, as reported in Column B of Document WV01-08. Personnel costs include salary, fringe benefits, training/education and staff travel.

1. Enter on Lines 1 through 4, Columns A, B and C, budgeted expenditures by staff position and function.

2. Enter on Lines 7 through 12, Columns A, B and C, other budgeted personnel expenditures, by function, as pre-approved by PDA.

PDA Waiver Budgeted Expenditures for Skilled Professional Medical Personnel WV04-08

AAA=xx Period=01	A. Care Management	B. Care Plan Review and Consultant	C. Supervis'n	D. Nursing Home Transition	E. Total Budgeted Costs
Type of Medical Waiver Staff Position 1. Staff Physician(s)	0	0	0	0	0
2. Consulting Physician(s)	0	0	0	0	0
3. Staff Registered Nurse(s)	0	0	0	0	0
4. Registered Nurse Consultant(s)	0	0	0	0	0
5. Other Personnel	0	0	0	0	0
6. Total Budget	0	0	0	0	0
Other Specialized Personnel Breakout 7. Other	0	0	0	0	0
8. Other	0	0	0	0	0
9. Other	0	0	0	0	0
10. Other	0	0	0	0	0
11. Other	0	0	0	0	0
12. Other	0	0	0	0	0

EXPENDITURE REPORTS:

DOCUMENT WV11-08
PDA Waiver Expenditures

The Waiver expenditure line item categories should be completed so that the same major expense categories are consistent with how similar items are captured on the line item budget. **The cumulative expenditures for Nursing Home Transition (Column D) must at least be equal to the Nursing Home Transition Allocation.**

This document is to be completed for the expenditures for the month being reported. Adjustments for over or under expenditures reported for prior periods should be included in the month being reported.

1. Enter on Lines 1 through 7, Columns A, B and C, the expenditures for salary and wages for indicated staff by the appropriate cost center.

2. Enter on Lines 1 through 7, Column D, the expenditures for staff that have been assigned to perform Nursing Home Transition activities.

3. Enter on Line 9, Columns A, B, C and D, the expenditures for fringe benefits.

4. Enter on Lines 11 and 12, columns A, B, C and D, the expenditures for occupancy and communication (include the cost of Internet access in communications).

5. Enter on Lines 13 and 14, Columns A, B, C and D, the expenditures for supplies, minor equipment and repairs. Minor equipment includes single item purchases of less than $5,000 with a useful life of less than one year. Computer equipment and furniture and fixtures costs are calculated for each item and not as a total purchase. Include software as a minor equipment cast.

6. Enter on Line 16, Columns A, B, C and D, the expenditures for staff transportation.

7. Enter on Lines 17 through 23, Columns A, B, C and D, the expenditures for contracted services.

8. Enter on Lines 25 through 27 Columns A, B, C and D, the expenditures for other operating expenditures.

9. Enter on Line 29, Column A, the indirect cost from the agency's indirect cost plan that is being charged to the Waiver. Indirect casts may not exceed 2% of direct service costs. For the purpose of this agreement, direct service costs include Care Management, Provider Certification and Nursing Home Transition.

10. Enter on Line 30, Columns A, B, C and D, the expenditures for pre-approved fixed asset purchases.

11. Enter on Line 32, columns, A, B, C and D, the expenditures being charged to 50/50 FFP. The cumulative total through period 12 that appears in column E must not exceed the total Waiver Allocation less the skilled medical portion and the NHT Goal Based Incentive Allocations.

12. Enter on Line 33, Columns B and D the skilled medical portion of the Waiver that is being charged

to 75/25 FFP. The cumulative total through period 12 that appears in Column E must not exceed the Skilled Medical Allocation on the Allocation Schedule.

13. Ensure that the cumulative entries for periods 1 through 12 on Line 34, Column E, does not exceed Waiver allocation less the NHT goal based incentives.

14. Enter on Line 35, Columns A, B, C and D, expenditures that exceed available funds from the Waiver Allocation.

15. Enter on Line 36, Column D, the total of the NHT Goal Based Incentive Allocations that has been earned by the agency. This amount of earned revenue should not be included in the Total Expenditure amount on Line 31, Column D. These funds are provided as an incentive to the AAA upon meeting the goals established on the allocation schedule.

    NOTE: The Totals indicated on Line 31, Columns A, B, C and D must be equal to the sum of Lines 34 and 35 for the same column.

DOCUMENT WVI1-08
PDA Waiver Expenditures

AAA=xx Period=01	A. AAA Admin.	B. Care Management	C. Provider Cert.	D. Nursing Home Transition	E. Total
Personnel 1. Unit Director	0	0	0	0	0
2. Supervisor(s)	0	0	0	0	0
3. Care Manager/ Vendor Manager	0	0	0	0	0
4. Clerical	0	0	0	0	0
5. Other	0	0	0	0	0
6. Other	0	0	0	0	0
7. Other	0	0	0	0	0
8. Total Salary	0	0	0	0	0
9. Fringe Benefits	0	0	0	0	0
10. Total Personnel	0	0	0	0	0
11. Occupancy	0	0	0	0	0
12. Communications	0	0	0	0	0
Supplies/Equipment 13. Supplies	0	0	0	0	0
14. Minor Equipment/ Repairs	0	0	0	0	0
15. Total Supplies/ Equipment	0	0	0	0	0
16. Transportation	0	0	0	0	0
Contract Services 17. Other	0	0	0	0	0
18. Other	0	0	0	0	0
19. Other	0	0	0	0	0
20. Other	0	0	0	0	0
21. Other	0	0	0	0	0
22. Other	0	0	0	0	0

23. Other	0	0	0	0	0
24. Total Contract Services	0	0	0	0	0
Other Operating 25. Insurance	0	0	0	0	0
26. Miscellaneous (Training)	0	0	0	0	0
27. Miscellaneous (Other)	0	0	0	0	0
28. Total Other Operating	0	0	0	0	0
29. Indirect Costs	0	0	0	0	0
30. Fixed Assets	0	0	0	0	0
31. Grand Total	0	0	0	0	0
32. 50/50 FFP	0	0	0	0	0
33. 75/25 FFP	0	0	0	0	0
34. Waiver Funds Expenditure Total	0	0	0	0	0
35. Other Funds Expenditure	0	0	0	0	0
36. NHT Goal Based Incentives Achieved	0	0	0	0	0

DOCUMENT WV13-08
Staff Summary

1. Enter on each line, for each column, the number of FTE staff that have been allocated to each component of the Waiver Program. This form is completed once each year and submitted with the June 2008 (period 12) report. The WV02-08 form will show beginning planned staff for period 1 and amended planned staff for period 2.

Staff Summary **WV13-08**

AAA=xx Period=12	A. AAA Administration	B. Care Management	C. Provider Certification	D. Nursing Home Transition
1. Unit Director	0.00	0.00	0.00	0.00
2. Supervisor(s)	0.00	0.00	0.00	0.00
3. Care Manager/ Vendor Manager	0.00	0.00	0.00	0.00
4. Clerical	0.00	0.00	0.00	0.00
5. Registered Nurse	0.00	0.00	0.00	0.00
6. Other	0.00	0.00	0.00	0.00
7. Other	0.00	0.00	0.00	0.00
8. Total	0.00	0.00	0.00	0.00