17—6.1(231) Definitions. Words and phrases as used in this chapter are as defined in 17—Chapter 1 unless the context indicates otherwise. The following definitions also apply to this chapter:

“Access” or “access services” means case management, transportation, outreach, information and assistance.

“Entrepreneurial activities” means the manufacturing, processing, selling, offering for sale, renting, leasing, delivering, dispensing, distributing or advertising of goods or services for profit; or a contract or agreement that an AAA will provide specific named service(s) for third-party payees.

“Priority services” means access, in-home and legal assistance services.

[ARC 8489B, IAB 1/27/10, effective 1/7/10]

17—6.2(231) Area plan.

6.2(1) Area plan. Each AAA shall develop and administer an area plan.

6.2(2) Duration and format of the area plan.

a. The area plan shall be for a minimum of a two-year and a maximum of a four-year period specified by the department, with annual updates.

b. Uniform area plan format. All AAA shall submit an area plan or plan amendment to the department in accordance with the uniform area plan format, other instructions issued by the department, this chapter, and the federal Act.

6.2(3) Comprehensive and coordinated delivery system. The multiyear area plan shall provide for the development of a comprehensive and coordinated service delivery system for all supportive and nutrition services needed by older individuals in the planning and service area to:

a. Facilitate access to and utilization of all existing services; and

b. Develop supportive and nutrition services effectively and efficiently to meet the needs of older individuals.

6.2(4) Requirements. An area plan shall provide for a comprehensive and coordinated service delivery system as defined in:

a. The federal Act;

b. Older Americans Act Title III Regulations; Code of Federal Regulations, Title 45, Volume 4, Part 1200 (45 CFR 117);

c. This chapter.

6.2(5) Plan content. The area plan shall, at a minimum, contain the following information:

a. Assurance that the AAA agrees to abide by the requirements of the federal Act and all other applicable laws and rules; and

b. Objectives and budget for each year of the designated period and methods to obtain those objectives; and

c. Client projections. Area agencies shall project, on forms or in a format prescribed by the department, the number of older individuals who will be served within each PSA.

6.2(6) Area plan amendments and revisions.

a. Amendments. The AAA shall amend the area plan and submit it to the commission for approval when:

(1) A new or amended state or federal statute, rule or regulation requires new information or conflicts with any existing plan provisions;

(2) A United States Supreme Court decision changes the interpretation of a statute or rule;

(3) Local law, organization, policy or agency operations change and are no longer accurately reflected in the area plan;

(4) The department requires amendments;

(5) The grantee proposes to change the designation of the single organizational unit or component unit responsible for programs under the federal Act or state law; or
(6) The area agency proposes to add or delete a service category.
   
b. Revision. The AAA may be required to revise the plan and submit it to the department for approval if:
   
   (1) A department funding source to the area agency changes; or
   
   (2) A program requirement changes.

6.2(7) Procedures for area plans, plan amendments and revisions.

a. Public hearing(s). The AAA shall hold at least one public hearing on the area plan and all plan amendments as required in this chapter. Priority services and direct service requests shall appear as distinct agenda items for any hearing.

   (1) The public hearing(s) shall be held prior to submission of the area plan or amendment(s) at a time which permits older individuals, public officials, and other interested parties reasonable opportunity to participate. The hearing(s) shall be held at a barrier-free, fully accessible location.

   (2) The AAA shall provide notice, in accordance with Iowa Code section 21.4(1), of the hearing by sending notice to all known groups of older individuals, PSA public officials, and other interested parties. The notice shall be issued 14 business days prior to the public hearing and include the time, date, and location of the public hearing. The AAA shall comply with any applicable state or federal laws and regulations governing public hearing processes and procedures.

   (3) The AAA shall prepare and submit to the department a written record of the public hearing in accordance with instructions issued by the department.

   b. Review and comment by the advisory council.

      (1) The AAA shall submit the area plan, amendments and revisions for review and comment to the AAA advisory council.

      (2) The official representative of the AAA shall sign the plan, amendment or revision to signify that the AAA has completed all of the requirements of this chapter. The AAA shall then submit the area plan, amendment or revision to the department for review.

6.2(8) Commission review. Plans and plan amendments may be approved by the commission after they have been processed in accordance with the process given in this chapter. Revisions may be approved by the department after they have been processed in accordance with the process given in this chapter.

6.2(9) Appeals. Any person may appeal a denial of approval of an area plan, plan amendment or revision as provided in 17—Chapter 4.

6.2(10) Area profile. Each AAA shall submit to the department a profile in accordance with the time frame and procedures as issued by the department. The profile shall contain, but not be limited to, the following AAA information:

   a. Affirmative action plan;
   
   b. Table of organizational structure;
   
   c. Inventory of nutrition sites and senior centers;
   
   d. Listing of the area agency’s designated community focal points; and
   
   e. Listing of the officers of the AAA board of directors.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13; ARC 1534C, IAB 7/9/14, effective 8/13/14; ARC 2522C, IAB 5/11/16, effective 6/15/16]

17—6.3(231) Area agency administration.

6.3(1) Director. The AAA shall employ a qualified director and may employ other staff as necessary to manage and monitor the area plan.

6.3(2) Director’s responsibility. It is the responsibility of the AAA director to:

   a. Ensure that all AAA duties as outlined in the federal Act, state law, this chapter and other rules promulgated by any agency having jurisdiction are performed;
   
   b. Develop the area plan;
   
   c. Implement organizational operations;
   
   d. Budget for services and operations;
   
   e. Coordinate implementation of services; and
6. Monitor and evaluate services.

6.3(3) Discrimination. The AAA shall offer equal opportunities for employment or promotion to all employees and to applicants who meet the qualifications of the open position. Discrimination against any person because of gender, race, national origin, age, political affiliation, creed, color, religion, physical or mental disability, or other nonmerit factors is prohibited during any aspect of personnel administration and during employment.

6.3(4) Affirmative action plans. Each AAA shall develop an affirmative action plan which shall be available for review by the department.

6.3(5) Training and development requirements. Each AAA shall have a plan and procedures that will support a broad program of staff development activities to ensure training of volunteers, paid personnel and providers of services to Iowa’s older individual population.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13; ARC 1534C, IAB 7/9/14, effective 8/13/14]

17—6.4(231) Confidentiality and disclosure of AAA information.

6.4(1) Confidentiality. AAA shall implement procedures to ensure that no information in possession of an AAA, or an entity providing services under programs funded by the department, is disclosed in a form identifiable with an individual without that individual’s informed consent regardless of the source of the information.

6.4(2) Public accessibility to manuals, guidelines, and standards. Copies of all manuals, guidelines, and standards referred to by these rules shall be maintained by the AAA and available for public inspection.

[ARC 8489B, IAB 1/27/10, effective 1/7/10]

17—6.5(231) AAA contact information. Information on how to contact the appropriate AAA office may be obtained by sending a request to the Department on Aging, Jessie Parker Building, 510 East 12th Street, Suite 2, Des Moines, Iowa 50319; or by telephone at (515)725-3333; or by visiting the department’s website, www.iowaaging.gov.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 2522C, IAB 5/11/16, effective 6/15/16]

17—6.6(231) Duties of AAA.

6.6(1) General. Each AAA shall fulfill the AAA duties specified in the federal Act, Iowa Code section 231.33 and this chapter. AAA shall:

a. Carry out functions related to advocacy, planning, coordination, interagency linkages, information sharing, brokering, monitoring and evaluation designed to lead to and maintain a comprehensive and coordinated community-based system. This system shall serve the PSA so that older individuals may lead independent, meaningful and dignified lives in their own homes and communities for as long as possible;

b. Strive to offer a range of services which are readily accessible to all older individuals by utilizing public, private and voluntary entities and personal resources of the client;

c. Encourage collaborative decision making among public, private, voluntary, religious and fraternal organizations, as well as older individuals;

d. Assist in determining and providing special assistance or resources to the most vulnerable older individuals who are in danger of losing their independence; and

e. Perform all functions as delineated in the area plan.

6.6(2) Additional duties include:

a. Attempt to involve the private bar and legal services corporation in the PSA in legal assistance activities;

b. Submit all reports in accordance with the department-prescribed form or format and due dates;

c. Coordinate AAA activities with mental health services provided by community health centers and other nonprofit private or public organizations;

d. Compile and summarize information on institutions of higher education in the PSA which offer courses of study to older individuals at a no- or reduced-tuition rate and disseminate the information to older individuals at their gathering places;
e. Seek out older individuals who may be eligible to receive Supplemental Security Income benefits under Title XVI of the Social Security Act, medical assistance under Titles XVIII and XIX of the Social Security Act, and benefits under the Food Stamp Act of 1977. The AAA shall provide information on the requirements for eligibility to receive these benefits and assist in applying for appropriate assistance and benefits;

f. Coordinate planning by individuals, agencies and organizations interested in the prevention of abuse, neglect and exploitation of older individuals and assist in implementation of educational and awareness activities, in coordination with the office of the state long-term care ombudsman program;

g. Coordinate planning with other agencies and organizations to provide health promotion activities for older individuals.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 1534C, IAB 7/9/14, effective 8/13/14; ARC 2522C, IAB 5/11/16, effective 6/15/16]

17—6.7(231) AAA board of directors.

6.7(1) Each designated AAA shall establish a board of directors in accordance with its individual articles of incorporation and bylaws.

6.7(2) The AAA board membership shall be representative of the geographic planning and service area.

6.7(3) Each AAA board of directors shall have board nominating and election procedures specified in its bylaws.

6.7(4) Each AAA shall specify in its bylaws the scope, function and responsibilities of the board, board committees and individual board members.

6.7(5) Each AAA shall provide an orientation process for newly elected board members that includes, at a minimum, the scope, function and responsibilities of the AAA and the responsibilities of the board, board committees and individual board members.

6.7(6) The department shall provide a minimum of four hours of training annually to AAA board members.

6.7(7) The AAA board of directors shall comply with Iowa Code chapter 504, “Revised Iowa Nonprofit Corporation Act.”

[ARC 8489B, IAB 1/27/10, effective 1/7/10]

17—6.8(231) AAA advisory council.

6.8(1) Member requirements. The AAA shall establish an advisory council composed of members, at least one-half of whom are aged 60 and older, which shall include:

a. Recipients of services under the Act, including minority older individuals and older individuals residing in rural areas;

b. Representatives of older individuals;

c. Current local elected officials;

d. The general public;

e. Representatives of health care provider organizations, including providers of veterans’ health care, if appropriate;

f. Representatives of supportive and nutrition service providers; and

g. Persons with leadership experience in private and volunteer sectors.

6.8(2) Duties. It shall be the specific responsibility of the advisory council to advise the AAA and:

a. Advocate for older individuals in the PSA by keeping informed of all activities and proposals concerning the older individuals;

b. Review and make recommendations on the content, formulation, administration and priorities of the area plan and participate in public hearings on the area plan;

c. Serve as an information link between the AAA and providers of services to older individuals in the PSA;

d. Review and comment on community policies, programs and actions which affect older individuals;

e. Assist in generating local support for development of programs for older individuals in the area.

6.8(3) Frequency of meetings. The AAA advisory council shall meet at least quarterly.
6.8(4) **Staff support.** The AAA shall provide staff and assistance to the AAA advisory council.

6.8(5) **Bylaws.** The AAA advisory council bylaws shall contain at least the basic bylaws: name, purpose, members, officers, meetings, committees, parliamentary authority and procedure for amendment of bylaws. The bylaw on membership shall include, but is not limited to, the number of, selection process and length of terms for members.

[ARC 8489B, IAB 1/27/10, effective 1/7/10]

17—6.9(231) **Emergency situations.**

6.9(1) Prior to and after a natural disaster or other safety-threatening situation, each AAA shall plan and coordinate with other public and private entities for safe and timely continuity of service and the restoration of normal living conditions for older individuals. This shall include:

a. Alerting older individuals of the impending danger;

b. Assessing the needs of older individuals after the event occurs; and

c. Ensuring that identified needs are met through collaboration with other agencies.

6.9(2) To further this purpose, each AAA shall:

a. Include in the procedures manual established as required in this chapter procedures to respond to emergency or disaster situations;

b. Include in the development and training plan methods of training for staff, contractors, and other interested parties in response to emergency or disaster situations; and

c. Include in contracts provisions for responding to emergency or disaster situations including, but not limited to, shifting funds from one activity to another or from one contractor to another.

6.9(3) Services. As a part of emergency response, the AAA may plan, coordinate and provide services funded under other programs consistent with responsibilities of an AAA.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 4877C, IAB 1/15/20, effective 2/19/20]

17—6.10(231) **AAA procedures manual.** A procedures manual shall be developed and kept current by the AAA. The manual shall, at a minimum, establish procedures to be followed in:

6.10(1) Establishing and maintaining information and assistance availability to ensure that older individuals within the PSA will have convenient access to services;

6.10(2) Conducting periodic evaluations, which may include participant satisfaction surveys of activities carried out under the area plan;

6.10(3) Furnishing appropriate technical assistance to providers of supportive services, nutrition services, or multipurpose senior centers;

6.10(4) Establishment of a request for proposal process that includes methods of selection of providers and methods for award of grants or contracts under the area plan, including stipulations that all subcontractors comply with all applicable local, state and federal laws, rules or regulations, and, if applicable, all requirements for nonprofit entities;

6.10(5) Resolving complaints by any aggrieved party directly affected by an action or omission of the AAA. AAA appeal procedures shall be in compliance with the relevant federal and state statutes, regulations and rules and shall contain at least the following procedures and time frames for complaint resolution:

a. Acknowledgment of the complaint;

b. Process for attempting to informally resolve the complaint;

c. Time frame for sending a hearing notice;

d. Process for holding a hearing;

e. Notification of the outcome of the hearing;

f. Appeal to the next higher authority;

6.10(6) Ensuring confidentiality, so that no information about or obtained from an older individual is disclosed in a form that identifies the person without the person’s informed consent;

6.10(7) The assessment and monitoring methods for programs and subcontracts funded by the AAA. This shall include documentation of quarterly monitoring of performance and on-site assessment and report at least annually;

6.10(8) Response to emergency or disaster situations;
6.10(9) Development of methods by which priority for delivery of services is determined;
6.10(10) Obtaining comments or suggestions from recipients about services provided by the AAA;
6.10(11) Determination of an individual’s eligibility for home-delivered nutrition services, including specific criteria established by the AAA for:
   a. Initial and subsequent six-month assessments of the individual’s eligibility for home-delivered meals;
   b. Determination of the number of days per week the individual has a need for home-delivered meals;
   c. Determination of the individual’s need for other home-delivered nutrition services;
6.10(12) Assurance that any facility housing a service will fully comply with all current federal, state or local health, fire, safety, sanitation, accessibility and licensure requirements;
6.10(13) Methods of monitoring service providers to ensure their performance is in accordance with terms, conditions and specifications for funding, including length of funding period, and the use of project income and methods of providing service;
6.10(14) If appropriate, offering a meal to individuals providing volunteer services during meal times on the same basis as meals are offered to eligible individuals;
6.10(15) Offering a meal to nonelderly individuals with disabilities who reside at home with and accompany eligible older individuals to a meal site;
6.10(16) Offering home-delivered meals to nonelderly individuals with disabilities when their elderly caregiver is eligible for a home-delivered meal;
6.10(17) Increasing public education and awareness in the prevention of abuse, neglect and exploitation of older individuals;
6.10(18) Identifying the public and private nonprofit entities involved in the prevention, identification, and treatment of abuse, neglect, and exploitation of older individuals and determining methods to respond to the needs of older individuals at risk; and
6.10(19) Offering health promotion activities and information to eligible individuals.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 4877C, IAB 1/15/20, effective 2/19/20]

17—6.11(231) Contracts.
6.11(1) A contract or agreement between an AAA and a provider of a specific service in the PSA shall not restrict the AAA from contracting with other provider(s) of similar services.
6.11(2) Contract file. AAA shall maintain a file of all current contracts with service-providing agencies or organizations. These files shall be made available for monitoring and assessment by the department.
6.11(3) Contracts with for-profit organizations. An AAA must request prior approval from the department of any proposed service contracts with for-profit organizations under an area plan.
   a. A separate approval request, using the request form provided by the department, shall be filed for each contract between the AAA and a provider for a service that is proposed to be delivered by a for-profit organization.
      (1) The request for approval shall be submitted to the department at least 30 days prior to the signing of the contract.
      (2) All applicants to provide services for which the contract is proposed shall be listed on the request form.
   b. The department may approve the contracts only if the AAA demonstrates that the for-profit organization can provide services that are in compliance with the Older Americans Act and consistent with the goals of the AAA as stated in the area plan.
[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 1534C, IAB 7/9/14, effective 8/13/14; ARC 4877C, IAB 1/15/20, effective 2/19/20]

17—6.12(231) Direct service.
6.12(1) An AAA must submit a request to provide direct service as part of the area plan. The request may be approved by the department based on documentation of the criteria given in subrule 6.12(2). The following services may be furnished directly by the AAA and are exempt from the requirements in subrule 6.12(2):
a. Information and assistance;
b. Outreach;
c. Case management;
d. Advocacy representation;
e. Public education;
f. Employment services;
g. Mental health outreach;
h. Coordination of efforts concerning the prevention of elder abuse;
i. Options counseling.

6.12(2) Criteria. The commission may approve an AAA request to provide direct service.

a. Approval will be based upon documentation of the following as submitted by the AAA:
   (1) Direct provision of service is necessary to ensure an adequate supply of the service, and no
       potential provider was identified during the public hearing process; or
   (2) The proposed service will be of comparable quality in the view of the AAA advisory council,
       and will meet or exceed service standards developed by the AAA; and
       (3) The AAA can provide a service of equal quality at lower cost than another provider.

b. The department may consider other factors including:
   (1) The demonstrated capacity of the AAA to deliver services consistently and reliably;
   (2) The economic impact of transition from a contract provider to the AAA;
   (3) Consideration of any possible disruption of service;
   (4) Input from the AAA advisory council; and
   (5) Comments from the public.

6.12(3) Conditional approval. If the criteria for approval of a request to provide direct services are
not met, a condition may be placed on the area plan approval.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 2522C, IAB 5/11/16, effective 6/15/16]


6.13(1) An AAA shall request a waiver from the priority service expenditures in rule 17—5.5(231)
if it does not propose sufficient funding to allow older individuals to have convenient access to a service. The waiver request shall be submitted with the plan or plan amendment pursuant to applicable procedures under 17—Chapter 11.

6.13(2) The commission, in approving an area plan or a plan amendment, may, upon
recommendation of the director, waive the requirement of rule 17—5.5(231) for any category of service
for which the AAA demonstrates the following:
   a. That the services being furnished by other providers meet the needs of older individuals in the
      PSA for that category of service; or
   b. That the AAA has made every reasonable effort to meet the need for a specific category of service.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13]

17—6.14(231) Requirements for service providers.

6.14(1) Contributions. The AAA shall consult with the relevant service providers and older
individuals in the PSA to determine the best method for accepting voluntary contributions. As
established by contract with the AAA, each service provider, including an AAA providing direct
service, shall:
   a. Provide each older individual with a voluntary opportunity to contribute to the cost of the service
      by displaying a suggested contribution schedule that takes into consideration income ranges of eligible
      individuals in local communities;
   b. Clearly inform each recipient that there is no obligation to contribute and that the contribution
      is purely voluntary;
   c. Protect the privacy and confidentiality of each older individual with respect to the person’s
      contributions;
d. Utilize appropriate procedures to safeguard and account for all contributions against loss, mishandling or theft by obtaining bonding for all employees and volunteers;

e. Use all contributions to expand the service for which such contribution is given. Nutrition service providers shall use all contributions to increase the number of meals served.

6.14(2) Failure to contribute. A provider that receives department funds may not deny any older individual a service because the person will not or cannot contribute to the cost.

6.14(3) Obtain views of older individuals. Each provider shall utilize procedures determined by the AAA for obtaining the views of participants about the services they receive. A report of procedures utilized and findings shall be issued by the AAA within six months of the signing of the contract.

6.14(4) Seek other sources of funding. Prior to requesting Title III funding, service providers shall demonstrate efforts to seek funds from other federal, state, and local sources.

6.14(5) Compliance by service providers. The AAA shall incorporate in its contract with each service provider an assurance that funds are used in compliance with federal guidelines.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13; ARC 1534C, IAB 7/9/14, effective 8/13/14]

17—6.15(231) Entrepreneurial activities of AAA. An AAA considering entrepreneurial activities must carefully examine the activity to ensure compatibility with its designation as an AAA. The following shall apply to all AAA, unless otherwise prohibited by statute, rule or order:

6.15(1) Demonstrated need—use of funds. An AAA may engage in entrepreneurial activities if the activity is in response to a demonstrated need and the funds raised by such activities are used for one of the following purposes:

a. To further extend services and opportunities for older individuals; or

b. To fund new services and opportunities for older individuals provided that these services or opportunities are compatible with the AAA functions and goals.

6.15(2) Restrictions. The following restrictions shall apply to an AAA’s engagement in entrepreneurial activities:

a. Entrepreneurial activities shall not be undertaken until they have been reviewed by the advisory council and approved by the AAA governing board.

b. An AAA that engages in entrepreneurial activities shall not create the impression that the activity is being carried on under governmental authority.

c. Funds received as a result of entrepreneurial activities shall be monitored and accounted for according to generally accepted accounting and auditing practices commensurate with the activities.

d. Entrepreneurial activities shall be pursued only if the duties and responsibilities required of AAA in this chapter are consistently provided by the AAA in a capable manner.

e. Entrepreneurial activities pursued by an AAA and groups or organizations funded by an AAA shall not have, nor present the appearance of, a conflict of interest.

f. Entrepreneurial activities shall not utilize funds received from the department for direct costs.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13]

17—6.16(231) Severability. Should any rule, subrule, paragraph, phrase, sentence or clause of this chapter be declared invalid or unconstitutional for any reason, the remainder of this chapter shall not be affected thereby.

[ARC 8489B, IAB 1/27/10, effective 1/7/10; ARC 0744C, IAB 5/15/13, effective 6/19/13]

These rules are intended to implement Iowa Code chapter 231.

[Filed 5/20/82, Notice 3/17/82—published 6/9/82, effective 7/14/82]
[Filed 5/1/87, Notice 2/25/87—published 5/20/87, effective 6/24/87]
[Filed emergency 8/20/87—published 9/9/87, effective 9/2/87]
[Filed 4/26/90, Notice 2/21/90—published 5/16/90, effective 6/30/90]
[Filed 2/1/91, Notice 11/28/90—published 2/20/91, effective 3/27/91]
[Filed without Notice 1/13/92—published 2/5/92, effective 3/11/92]
[Filed 6/26/92, Notice 4/1/92—published 7/22/92, effective 8/26/92]
[Filed 11/5/93, Notice 9/15/93—published 11/24/93, effective 12/29/93]
[Filed 2/21/06, Notice 11/23/05—published 3/15/06, effective 5/1/06]
[Filed 8/9/06, Notice 6/7/06—published 8/30/06, effective 10/4/06]
[Filed 6/12/08, Notice 3/26/08—published 7/2/08, effective 8/6/08]
[Filed Emergency ARC 8489B, IAB 1/27/10, effective 1/7/10]
[Filed ARC 0744C (Notice ARC 0640C, IAB 3/6/13), IAB 5/15/13, effective 6/19/13]
[Filed ARC 1534C (Notice ARC 1426C, IAB 4/16/14), IAB 7/9/14, effective 8/13/14]
[Filed ARC 2522C (Notice ARC 2365C, IAB 1/20/16), IAB 5/11/16, effective 6/15/16]
[Filed ARC 4877C (Notice ARC 4544C, IAB 7/17/19), IAB 1/15/20, effective 2/19/20]

1 Effective date of Ch 6 delayed 70 days by the Administrative Rules Review Committee.