



REQUEST FOR PROPOSALS

Contract Cycle: State Fiscal Years 2027-29; Renewable for SFYs 2029-31

Health Insurance Counseling and Advocacy Program (HICAP)

Family Caregiver Support Program (Title III-E)

Health Promotion Evidence-Based (Title III-D)

SECTION III: GENERAL REQUIREMENTS AND EXPECTATIONS

INTRODUCTION

The Older Americans Act (OAA) of 1965 is the federal law which established the Administration on Aging to build and oversee a national Aging Services Network. Today, that Network includes State Units on Aging, Area Agencies on Aging (AAAs) and all the local organizations funded with OAA dollars. Local Aging Services Networks may also encompass non-OAA services being administered by the AAA, such as California's Health Insurance Counseling and Advocacy Program (HICAP).

The Older Americans Act provides programs that are primarily available to Americans aged 60 and older and their family caregivers at no cost to them. Like Medicare, the Act was originally designed to offer limited assistance to those with particular care needs, supplementing (not replacing) the other resources and supports people already have in place. Unlike Medicare, the OAA usually funds social services (not medical ones) with Meals on Wheels being the most well-known.

Agencies on Aging are intended to be *"the leader relative to all aging issues on behalf of all older persons in the planning and service area,"* and their common mission is to help older adults live *"independent, meaningful and dignified lives in their own homes and communities as long as possible."* AAAs are directed to carry out this mission proactively through *"a wide range of functions related to advocacy, planning, coordination, inter-agency linkages, information sharing, brokering, monitoring and evaluation, designed to lead to the development or enhancement of comprehensive and coordinated community-based systems [of care]. . . ."* CFR Title 45 §1321.53(a)

The concept of *"a comprehensive, coordinated system for providing long-term care in home and community-based settings"* is of paramount importance to the Administration on Aging and to local Area Agencies on Aging. Given the unprecedented surge in demand for non-medical care, it is imperative that the Aging Network close gaps between service silos for those who struggle to find the supports they need at the very times they need them most. Consequently, the federal government has adopted stronger directives and guidance to help pave the way.

The Code of Federal Regulations (Title 45 §1321.53(b)) {emphasis added} states that comprehensive and coordinated community-based systems of care **"shall:**

(1) *Have a visible focal point of contact where anyone can go or call for help, information or referral*



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on any aging issue;

- (2) *Provide a **range of options**;*
- (3) *Assure that these options are readily **accessible to all** older persons: The independent, semi-dependent and totally dependent, no matter what their income;*
- (4) *Include a commitment of public, private, voluntary **and** personal resources committed to supporting the system;*
- (5) *Involve collaborative decision-making among public, private, voluntary, religious **and** fraternal organizations and older people in the community;*
- (6) *Offer special help or targeted resources for the most vulnerable older persons, **those in danger** of losing their independence;*
- (7) ***Provide effective referral from agency to agency to assure that information or assistance is received, no matter how or where contact is made in the community;***
- (8) *Evidence sufficient **flexibility to respond with appropriate individualized assistance**, especially for the vulnerable older person;*
- (9) *Have a unique character which is tailored to the specific nature of the community;*
- (10) *Be directed by leaders in the community who have the respect, capacity and authority necessary to convene all interested persons, assess needs, design solutions, **track overall success, stimulate change and plan community responses for the present and for the future.***

AAA4 accepts these directives and, in order to advance them, utilizes this Request for Proposals (RFP) to uphold additional standards. In short, AAA4 is seeking organizations who *value* the ideas cited above, including options, flexibility and character. AAA4 is seeking true partners who *want* to combine efforts to accomplish bigger things than they could acting alone. AAA4 is seeking local leadership with courage and resolve to reach success in the aging services field in new and powerful ways.

RATIONALE

AAA4's Planning and Service area encompasses a large segment of California that is both geographically and socially diverse. It is a collection of sparsely, moderately and heavily populated counties, but each one has near equal voice in the governance of the whole. In this regard, AAA4 essentially acts as an alliance among seven independent jurisdictions. While the Department of Aging may see us as a singular homogenous entity, we see ourselves as a compilation of seven individual counties, and we find it just and natural to award most service contracts to local, community-based organizations.

PURPOSE

The requirements and expectations outlined in this section apply to the Older Americans Act services that are fundable within this RFP packet as well as HICAP services. This Section is intended to:

1. Broadly direct the proper provision of OAA and HICAP services;



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2. Promote maximum coordination among local systems of home and community-based care; and,
3. Advance the mission of AAA4 and of the Aging Services Network in our region.

Section IV, Program Requirements and Expectations, outlines policies and requirements that are unique to each type of service; they are in addition to this Section. In the event of a conflict, Section IV shall take precedence. A proposal that fails to comply with all applicable requirements may be deemed non-responsive and, therefore, ineligible for funding consideration.

NOTE: The term *Applicant* is used when the policy/requirement must be met prior to applying (or while applying) for funds administered by AAA4. The term *Funded Partner* is used when the policy/requirement must be met after funds are awarded by AAA4. Successful Applicant organizations will enter into a contractual relationship with AAA4, becoming a Funded Partner of AAA4 and assuming full responsibility for fulfilling the terms and conditions of said contract.

AAA4 PRINCIPLES AND PRIORITIES

The mission of Agency on Aging Area 4 (AAA4) is “*to enrich the lives of older adults and people with disabilities by fostering networks of support, advocating for individual choice, collaborating with others, ensuring equity, and striving to do so with conviction.*” Nationally, the mission of all AAAs is to help folks live independently as possible for as long as possible, and in that context the word “independence” is associated with avoiding the unnecessary or premature placement of frail and/or elderly individuals in nursing homes. Stated differently, the basic goal is upholding personal autonomy – preserving personal autonomy for those at risk of losing it, and wherever possible, restoring autonomy to those who have already lost it.

In this RFP, AAA4 has placed special emphasis on mission-based efforts, equity and inclusion, person-centered approaches, rapid adaptability, food security and housing security. To the extent practicable, Applicants are expected to incorporate these topics into their proposals.

1. Mission-Based Efforts

AAA4 strives to ensure its efforts are always advancing the mission of the Agency. If the provision of a service to a particular individual directly and significantly reduces the likelihood of that individual needing a higher level of care, then the mission is being advanced for that individual. Successful Applicants should be able to serve as many clients as possible without diluting the benefit each individual gets from receiving the service.

2. Diversity, Equity and Inclusion (DEI)

AAA4 recognizes that some communities experience socio-economic disparities today because of long-standing systemic inequity and/or exclusion in our larger society. The most direct way to



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address these negative impacts is through a deliberate strategy of equity and inclusion for all people, especially those who have been historically disadvantaged due to their race, gender, sexual orientation, disability, immigration status, language or culture. Successful Applicants should be welcoming to all people, and their clientele should be at least as diverse as the local population age 60 and older.

3. Person-Centered Approaches

As stated previously, “AAA4 is seeking organizations who value . . . options, flexibility and character.” These three ideas underscore the critical role of personal preference and choice in fostering a real sense of self-determination. The paths that move us forward are typically those that leave behind institutional, one-size-fits-all service models. Successful Applicants should be able to integrate person-centered approaches that help uphold, preserve and restore clients’ personal autonomy.

4. Rapid Adaptability

The COVID-19 pandemic made it more evident than ever that service providers must be able to adapt quickly to changing circumstances if they hope to remain viable. The great majority of people served through AAA4-Funded programs are in the highest risk category by virtue of age, underlying health conditions or both. Successful Applicants should be able to move back and forth between remote and on-site service models with very little advance notice.

5. Food Security

Meals on Wheels is the flagship program of the Aging Services Network. Most of the federal and State resources AAA4 receives and administers are for nutrition programs, yet local needs far surpass our reach. Some older adults go hungry; many more go malnourished for a variety of reasons, including affordability and access. The successful Applicant under this RFP should be able to identify and track nutrition risk among their clients and make appropriate referrals.

6. Housing Security

AAA4 recognizes the goal of living with independence is unattainable for those without a place to live. Given the alarming increase in first-time homelessness among people age 50+, AAA4 is focused on helping those at risk keep the housing they have. The successful Applicant under this RFP should be able to identify and track housing risk among their clients and make appropriate referrals.

1. LEADERSHIP AND ADMINISTRATION

Leadership and Administration is the first of six major factors upon which the Applicants under this RFP will be evaluated. More specifically, AAA4 seeks Applicant Organizations that have



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demonstrated leadership in aging services or in a closely related field. Applicants should be familiar with successful service models (best practices) and should have considered how those models may apply to the communities they propose to serve. Governmental and nonprofit Applicants shall have a Board or other governing body that has worked effectively with executive staff and the wider community. Successful for-profit Applicants may be required to establish an independent advisory body.

A. MISSION AND HISTORY

Applicants are expected to have a current mission statement that is compatible with that of AAA4, and they are expected to have a proven track record advancing their mission.

B. DIRECT EXPERIENCE

Applicants are expected to have experience providing the proposed service or a similar service. Typically, this is first-hand experience whereby the staff/volunteers engaged in day-to-day service activities are employees of the Applicant Organization. Alternatively, the principal agent may partner/subcontract with one or more other organizations to perform some or all necessary day-to-day service functions. Any proposal that states or implies such a relationship must attach a formal Letter of Commitment from each organization involved (For additional details refer to Section V: Proposal Review Process).

In California, the array of services and supports available to older adults is fragmented; therefore, it is crucial that the Applicant Organization's leadership experience includes well-coordinated relationships with other community organizations that serve the same target population.

C. ORGANIZATIONAL READINESS

The Applicant Organization's Governing Body and Leadership (executive staff) should be well-positioned to incorporate AAA4's Principles and Priorities as described above.

D. ADMINISTRATIVE READINESS

Applicants must be an officially designated governmental, nonprofit or for-profit entity as of the proposal submission date. Applicants who are currently funded by AAA4 shall demonstrate the ability to begin providing service on July 1, 2025, without adverse consequences on existing or prospective AAA4 clients. Applicants who are not currently funded by AAA4 shall demonstrate the ability to begin providing services no later than October 1, 2025.

1) Fiscal Accountability/Compliance:

Funded Partners shall maintain financial and internal controls to assure the use of AAA4 funds is in accordance with requirements specified in federal and State publications and the AAA4 Contract. All costs included in monthly reports must be supported by appropriate



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accounting documentation and must be in accordance with an AAA4 approved budget.

Accounting documentation must establish that only a fair and equitable portion of a Funded Partner's allocated costs or shared costs is charged to AAA4. Funded Partners sharing costs with other funding sources shall have a written cost allocation plan on file in their office. Costs included in the AAA4 service budget(s) and monthly financial reports may be subject to approval only upon presentation of supporting documentation.

All Applicants shall meet the standards for financial management systems, as stipulated in 45 CFR 92.20 (governmental) or 45 CFR, Section 74.21 (non-profits) as well as those stipulated in {2 CFR 200.302} Financial management.

2) Data Reporting:

Funded Partners providing HICAP services shall comply with special reporting requirements established by the State and federal government as described in the Program Specifications and Standards for HICAP.

Funded Partners providing OAA services in categories defined as Registered Services are required to enter client information and clients' individual service unit data in the secure application designated by AAA4 (currently the GetCare database). Data entry shall be completed by the 10th calendar day of each month.

Funded Partners providing OAA services in categories defined as Non-Registered Services (e.g., Health Promotion Evidence-Based) are required to submit client information directly to AAA4 as well as aggregate service unit data. Data shall be received by the 10th calendar day of each month.

Funded Partners may also be required to submit additional data at the request of AAA4. For more information see Section IV: Program Requirements and Expectations.

Funded Partners shall have staff knowledgeable or trained in data management.

3) Information Technology

Funded Partners must have at least one computer that will be used for data and fiscal reporting that meets the following technical requirements:

- Windows 11 Professional operating system with current patches applied
- A processor of 2 GHz or faster
- 8 GB Ram



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- 500GB hard drive
- A TPM 2.0 compatible motherboard
- Installed Antivirus Software

In addition to the above the computer will also need a continuous working High Speed Internet connection, DSL or better; Microsoft Edge, Google Chrome or equivalent browser; and Microsoft Office 2016 or higher.

E. GOOD STANDING

Organizations shall be in good standing with all applicable Federal and State departments and agencies, including AAA4, at the time a contract is executed.

F. PAST PERFORMANCE

Recent performance, compliance concerns and sanctions among current and past AAA4-Funded Partners shall be considered during the RFP review process.

2. OLDER AMERICANS ACT PROGRAM PARAMETERS

This part is meant to broadly outline a complex array of terms and topics pertinent to the home and community-based services included in this RFP, as established in Title III of the Older Americans Act and in accordance with federal, state and local requirements and expectations. A proposal that fails to comply with all applicable requirements may be deemed non-responsive and, therefore, ineligible for funding consideration.

Although this part is NOT written to apply to HICAP services, it does provide helpful guidelines because the program parameters for HICAP are the same or similar to those contained here. Applicants for HICAP should refer to the Program Specifications and Standards for HICAP.

A. REQUIRED ACTIVITIES

The minimum required activities for each service category are established by the federal government and are included in the CDA Data Dictionary. AAA4 may require additional activities. See each Program Specification/Application for details.

B. ALLOWABLE ACTIVITIES

AAA4 may describe other activities that are allowable with funding awarded under a service category, but which are not required. See each Program Specification/Application for details.

C. PROHIBITED ACTIVITIES



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Some Program Specifications describe activities that are expressly prohibited by the federal government, the State or AAA4. See each individual Program Specification/Application for details.

D. GEOGRAPHIC SERVICE AREA

The funding available under this RFP is designated for a specific geographic area (Western Placer County). See each Program Specification/Application for details.

E. SERVICE COORDINATION

Agencies on Aging are required to *“establish effective and efficient procedures for coordination of: (1) entities conducting programs that receive assistance under [the OAA]...; and, (2) entities conducting other Federal programs for older individuals at the local level...”* OAA 306(a)(6)(E). Thus, all Funded Partners of AAA4 are expected to actively coordinate efforts with one another to the fullest extent practicable. In addition, each Funded Partner is also expected to work with AAA4 in their local area, as appropriate, to coordinate with federal programs such as those affiliated with Social Security, Medicare/Medi-Cal, Housing, Transportation and Veterans Services.

1) Coordination of Service Efforts:

Funded Partners serving the same community under separate contracts with AAA4 are likely to have opportunities to avoid duplication and minimize costs through coordinated efforts including but not limited to:

- a) Adopting a common Client Assessment Process
- b) Sharing Client Data, Case Notes and Progress Reports (as appropriate)
- c) Bulk Purchasing
- d) Joint Training
- e) Joint Fundraising

2) Focal Points:

Agencies on Aging designate focal points within their service area. Senior Centers and other public facilities where older adults gather to participate in a variety of activities qualify for designation if nutrition services are available on site and, if transportation is available, and if free information about other local programs and resources is available.

Funded Partners are required to coordinate with local focal points to ensure staff, volunteers and attendees at these venues are aware of the OAA services being provided in their community. If practicable, Funded Partners are encouraged to establish a regular presence at focal points in order to engage prospective clients and/or serve clients on site.



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AAA4 has designated the following focal points:

ACC Senior Services	Chabolla Community Center	Davis Senior Center
Ethel McLeod Hart Multipurpose Senior Center	Loyalton Senior Center	Maidu Community Center
Mission Oaks Activities Center	Nevada City Senior Apartments	Niel Orchard Senior Activities Center
North San Juan Community Center	RISE, Inc	Samuel C. Pannel Meadowview Community Center
Senior Center of Elk Grove	Stanford Settlement Senior Center	Truckee Donner Senior Apartments
West Sacramento Community Center	Woodland Community & Senior Center	Yuba City Senior Center

- 3) Aging and Disability Resource Connections (ADRCs):
Funded Partners are strongly encouraged to be extended partners with ADRCs. Nevada, Placer, Sacramento, Yolo and Yuba-Sutter all have designated ADRCs.
- 4) Local Aging & LTC Alliances:
Funded Partners are encouraged to consider coordinating with third-party organizations (or collections of organizations) that share concerns directly involving older adults and their family caregivers. OAA funds may be used to participate in such activities so long as the Rights and Restrictions in part J below are observed.
- 5) Partnerships and Subcontracts:
Applicants are strongly encouraged to explore whether entering into formal relationships with other organizations for the provision of OAA services (in whole or in part) would be mutually beneficial and avoid unnecessary duplication of effort and/or enhance services.

F. CLIENT ELIGIBILITY

The minimum eligibility requirements the Older Americans Act services that are fundable under this RFP packet under Title III-D are outlined below.:-

- 1) People aged 60 and older are considered Older Adults, and they meet the general age requirement to receive services.
- 2) People meet the general income/asset requirement regardless of their financial status.
- 3) Usually, people need to live within the designated service area to meet the residency requirement; some exceptions apply.
- 4) Usually, people need to agree to a statement of client roles and responsibilities. Some



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exceptions apply.

See Section IV: Program Requirements and Expectations for information specific to Title III-E.

G. CLIENT PRIORITIZATION

The OAA requires that special efforts be made to serve eligible individuals with the “*greatest social and economic needs*.” Broadly, this term refers to people whose status or circumstance is likely to present barriers to their long-term care. To help ensure consistent interpretation of this concept, AAA4 has established three priority categories as described below. A person may meet multiple criteria at the same time.

Generally, Funded Partners are required to have a written prioritization plan approved by AAA4 which describes how people will be prioritized. Some exceptions apply. See Section IV as well as each Program Specifications/Application for details.

- 1) Existing Clients: Funded Partners SHALL evaluate the needs of any clients who had been receiving services under the same service category in the same geographic service area during the period just prior to the start of a new contract cycle. Such existing clients whose needs are equal to or greater than those of new prospective clients should be served first. Thereafter, people do not necessarily retain any priority status solely for being existing clients. See each Program Specifications/Application.
- 2) Target Groups: The Older Californians Act, the California Department of Aging and the AAA4 Area Plan identify people having certain characteristics as “target” populations. The requirements with respect to these populations vary as follows:
 - a) Select Funded Partners are required to serve primary target populations at least at a proportionate percentage, based upon their projected numbers within the specific geographic service area. The primary groups are people who are:
 - i. Living at or below the Federal Poverty Level.
 - ii. Ethnic Minorities.
 - iii. Living in a remote rural area (see Key Terms in Section II).
 - b) Select Funded Partners shall make reasonable efforts to serve secondary target populations. The secondary groups are people who:
 - i. Reside at home and are at risk of institutionalization because of limitations on their ability to function independently.
 - ii. Are patients in hospitals and are at risk of prolonged institutionalization.
 - iii. Are patients in long-term care facilities, but who can return to their homes if



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- community-based services can be provided to them.
- iv. Have themselves (or persons of any age who are caring for someone with) a diagnosis of Alzheimer's disease or a related disorder with neurological and organic brain dysfunction.
- v. Are isolated (culturally, socially or physically).
- vi. Have language barriers.
- vii. Have physical or mental disabilities.
- c) All Funded Partners are expected to conduct some form of outreach activity intended to reach tertiary target populations. The tertiary groups are people who:
 - i. Have dementia.
 - ii. Are family caregivers.
 - iii. Are frail.
 - iv. Are neglected or exploited.
 - v. Self-identify as LGBTQ (lesbian, gay, bi-sexual, transgender and questioning/ queer).
 - vi. Are unemployed and seeking work.
 - vii. Are Holocaust survivors.
- 3) Special Circumstances: AAA4 recognizes that in addition to the categories above, special circumstances may exist which warrant priority consideration. In extreme cases, such circumstances may include:
 - a) An individual has a terminal diagnosis and is actively dying.
 - b) An individual is being released from a hospital or from a LTC facility to a home or other non-medical setting.
 - c) An individual has no financial assets whatsoever and no means to obtain income/ assets.
 - d) A court of law has found an individual to be defrauded without gross negligence on his/her own behalf and whose unrecoverable losses have impoverished them.
 - e) An individual is being placed in a LTC facility although the placement is not medically necessary, and the individual does not pose a danger to themselves or others.
 - f) An individual is homeless or near homeless.
 - g) An individual has no access to food or water whatsoever.
 - h) An individual has no means of transportation whatsoever.

H. CLIENT WAIT LISTS & TIME LIMITS

When the number of eligible people demanding an OAA service clearly exceeds the maximum number of people that can be served, it is incumbent upon the Agency on Aging to protect the



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interests of both the providers and the general public. Beyond the terms and conditions of any contractual agreement in effect, no Funded Partner shall otherwise be obligated to serve more clients than reasonably can be accommodated.

In some instances, AAA4 may deem the availability of a particular service to be critical to the public at large, and AAA4 may work with the Funded Partner to ensure some minimal degree of capacity is maintained at all times to be able to respond to the highest priority cases.

AAA4 may also deem it unreasonable to provide a particular service to any one individual indefinitely; in that case, the service in question shall be classified as time limited. See each Program Specifications/Application for details.

Creating a Waiting List may or may not be helpful or advisable. Generally, AAA4 would seek to avoid unnecessary administrative costs for Funded Partners and to offer prospective clients realistic expectations as to when and if they may be served. Usually, Funded Partners are required to have a written procedure approved by AAA4 which describes how waiting lists will be managed. Exceptions apply. See each Program Specifications/Application for details.

I. SERVICE REFERRALS

As stated in the Overview, coordinated systems of care shall *“provide effective referral from agency to agency to assure that information or assistance is received, no matter how or where contact is made in the community.”* Although Senior Information & Assistance programs are intended to be the gateway to OAA services, the “no wrong door” approach described here places greater responsibility on all Funded Partners to be sure individuals they refer elsewhere do, in fact, find the services and supports they seek.

Each Funded Partner is required to maintain current resource listings, to train appropriate staff/volunteers how to make appropriate referrals and to use a reliable method to estimate what percentage of individuals do connect with the programs and services most frequently referred. {In this context, “connect” means the individual communicated with a person responsible for screening prospective clients; it does not necessarily mean the individual received the help they were seeking.}

J. UNIQUE PROGRAM STANDARDS

See Section IV: Program Requirements and Expectations.

K. RIGHTS & RESTRICTIONS

- 1) **Covenant Against Contingent Fees:** The AAA warrants that no person or selling agency has been employed or retained to solicit the work outlined within this Agreement. There has been no agreement to make commission payments in order to obtain the work.



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outlined within this Agreement. For breach or violation of this warranty, AAA shall have the right to terminate the Agreement without liability or at its discretion to deduct from the program allocation or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingency fee.

- 2) **Fair Access:** Funded Partners shall take steps to ensure fair access to services, including (a) adopting policies compliant with Title VI of the Civil Rights Act of 1964 and with the Americans with Disabilities Act of 1990; (b) if at least 5% of the older adults residing in the Funded Partner's service area belong to any one specific non-English speaking group, then that Funded Partner must have the capacity to serve individuals of said group(s) in their native language; and (c) no Funded Partner shall restrict service provision to their own members, agents or affiliates.
- 3) **In-Home Clients:** Funded Partners that provide in-home services shall promote the rights of each older individual who receives such services, including: (a) the right to be fully informed in advance about each in-home service provided by such entity and about any change in such service that may affect the well-being of such individual; (b) the right to participate in planning and changing an in-home service provided under this title by such entity unless such individual is judicially adjudged incompetent; (c) the right to voice a grievance with respect to such service that is or fails to be so provided, without discrimination or reprisal as a result of voicing such grievance; (d) the right to confidentiality of records relating to such individual; (e) the right to have the property of such individual treated with respect; and, (f) the right to be fully informed (orally and in writing), in advance of receiving an in-home service under this title, of such rights and obligations. [42 U.S.C. 3030c-1]
- 4) **Privacy:** Existing and prospective clients may refuse to disclose any type of specific personal or financial information, and they shall be allowed to do so without coercion, consequence or reprisal. This right extends to information related to basic eligibility, such as a person's date of birth and home address
- 5) **No Service Fees:** Funded Partners are strictly prohibited from charging fees of any kind to current or prospective clients for contract-supported activities under this RFP.
- 6) **No Means Testing:** Funded Partners are strictly prohibited from using any form of means testing. Nevertheless, funded programs must ask prospective and existing clients to voluntarily disclose financial information for the purposes of prioritization and data reporting.
- 7) **Voluntary Contributions:** Funded Partners must give every client an opportunity to contribute to the cost of the service while also clearly informing them there is no obligation



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to contribute and doing so is purely voluntary. In accordance with the OAA, *“Such contributions shall be encouraged for individuals whose self-declared income is at or above 185 percent of the poverty line, at contribution levels based on the actual cost of services.”* so long as the methods used are non-coercive.

Funded Partners are strictly prohibited from allowing/denying service or from altering the amount of service given based on a client's ability or willingness to contribute. Funded Partners shall take appropriate steps to protect the privacy and confidentiality of all clients with respect to contributions. Client contributions shall be used to improve or expand the service. Voluntary contributions are not synonymous with donations; thus, those terms should not be used interchangeably.

- 8) **Supplantation:** Funded Partners are strictly prohibited from supplanting funds. Thus, federal funds must be used to supplement existing State or local funds for OAA services and may not replace State or local funds that have been appropriated or allocated for the same purpose. Additionally, federal funding may not replace State or local funding that is required by law.
- 8) **Political Parties:** No Applicant organization or its employees shall contribute or make available Older Americans Act funds, personnel or equipment to any political party or association or to the campaign of any candidate for public or party office; or for use in advocating or opposing any ballot measure, initiative, or referendum.
- 9) **Grievances:** Funded Partners are required to have a written grievance policy designed to resolve disputes between the Funded Partner and prospective clients, existing clients or authorized representatives thereof. The policy must be posted at the agency's office in a publicly accessible area. Individuals who abide by such a policy but who ultimately remain dissatisfied with the outcome may then file a grievance with AAA4.

L. LEGAL REFERENCES

Funded Partners shall be accountable for AAA4 policies and State and federal regulations and requirements as applicable. The following is a list of regulations and source documents which are available to Applicants for review at AAA4 (by appointment):

- AAA4 Memoranda, Bulletins and Policies;
- All federal and state statutes relating to non-discrimination;
- Americans with Disabilities Act of 1990, Public Law 101 – 336, As Amended;
- California Code of Regulations (CCR), Title 22 Social Security, Division 1.8 California Department of Aging;
- California Department of Aging (CDA) Program Memos;



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- CDA Program Guide;
- California Fair Employment and Housing Act of 1959, As Amended; Government Code §§ 12900 – 12996;
- California Retail Food Code, California Code: Health and Safety Code (HSC), Division 104 Environmental Health, Part 7;
- Civil Rights Act of 1964, Public Law 88 – 352 , As Amended;
- Code of Federal Regulations (CFR), Title 2 Grants and Agreements, Subtitle A Office of Management and Budget (OMB) Guidance for Grants and Agreements, Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- CFR, Title 45 Public Welfare, Part 74 Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, other Nonprofit Organizations, and Commercial Organizations; and certain Grants and Agreements with States, Local Governments and Indian Tribal Governments;
- CFR, Title 45 Public Welfare, Part 75 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards;
- CFR, Title 45 Public Welfare, Part 1321 Grants to State and Community Programs on Aging;
- Federal, State and County and regulations applicable to Affirmative Action and Sexual Harassment;
- Home Care Services Consumer Protection Act of 2016
- Mello-Granlund Older Californians Act of 1996, California Code: Welfare and Institutions Code (WIC) §§ 9000 – 9750, As Amended;
- Older Americans Act of 1965, Public Law 89 – 73, As Amended Through P.L. 116 – 131, Enacted March 25, 2020;
- Rehabilitation Act of 1973, Public Law 93 – 112, As Amended; and,
- Reporting Requirements for Elder & Dependent Adult Abuse; WIC § 15630.

NOTE: If the grant award to Contractor exceeds \$100,000, Contractor shall comply with all applicable orders or requirements issued under the following laws: Clean Air Act of 1963, As Amended; Clean Water Act of 1972, As Amended; CFR, Title 40 Protection of Environment, Part 15; and Executive Order 11738.

3. THE SERVICE PLAN

As stated in the Introduction to this Section, the mission of the OAA is to help older adults live *“independent, meaningful and dignified lives in their own homes and communities as long as possible.”* The description of each service category (found in the Program Specifications/Application) reflects a basic plan for addressing a particular aspect of that mission.



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Applicants will be asked to explain in detail how they intend to implement their plan, using the elements below.

Although this part is NOT written to apply to HICAP services, it does provide helpful guidelines.

A. SERVICE GOALS

Applicants are expected to have clear goals which provide a framework for the overall service plan (or service model), and which describe how people are intended to benefit from the proposed plan/model. The benefits should be achievable; no single type of service is intended or expected, in and of itself, to be able to prevent someone from needing long-term care.

B. OUTREACH

Within the eligibility and prioritization constraints outlined previously, Applicants are expected to clearly identify the types of individuals they intend to serve and how they plan to reach them in sufficient yet manageable numbers over the course of the contract cycle. Only focused outreach will achieve the goal of serving these groups. Almost by definition, the most at-risk vulnerable older adults are the most difficult to reach and serve.

C. RESOURCES

Applicants are expected to demonstrate a clear understanding of the resources needed to provide the proposed service (e.g., equipment, tools, products, personnel, etc.).

D. DELIVERY OF SERVICES

Applicants are expected to clearly explain how the delivery of services at the point of client contact will occur in accordance with their service plan. Applicants should be able to describe how they will manage their services in a way that maximizes efficiencies while also upholding standards and maintaining quality.

E. DATA

On an ongoing basis, Funded Partners are required to collect and report data pertaining to the delivery of services, including but not limited to the number of units of service provided and the number of people served. Applicants will be asked to estimate how many total units they propose to provide to how many unduplicated people for each year in the contract period.

F. SERVICE OUTCOMES

Service outcomes are counterparts to service goals. Funded Partners shall use measurable outcomes as indicators of how well the initial goals were met and, therefore, how people benefited from the services provided.



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G. EVALUATION

Applicants are expected to have evaluation methods as part of their service plan. Such methods should include analysis of service data, client feedback and input from staff and volunteers. The information gathered should be used to improve the overall effectiveness of the service plan.

4. MANAGEMENT & STAFFING

Applicants will be asked to demonstrate they have (or will be able to acquire) personnel capable of delivering and overseeing the proper delivery of OAA services. Funded Partners shall also encourage paid employment opportunities for older workers.

A. HUMAN RESOURCES

Staffing Level: Funded Partners are expected to be able to adjust staffing/volunteer levels up or down based upon predictable variations in the demand for services and in the supply of resources. Predictable variations may include things like seasonal patterns (e.g., fewer outdoor activities in the Winter).

Skilled Staff: All personnel involved in the fulfillment and execution of a service contract with AAA4 shall have necessary skills or expertise to carry out their role in an effective and efficient manner, including Executive, Fiscal, Contract/Compliance, Information Management, and Program personnel.

Job Descriptions: Funded Partners shall possess and maintain job descriptions for all service positions (both volunteer and paid). Descriptions will include minimum qualifications for education, licenses and experience, job duties and necessary job knowledge/skills.

Salary Schedule: Funded Partners shall have available a salary schedule for paid positions associated with Older Americans Act services.

Standards of Conduct: Funded Partners shall maintain written standards of conduct governing the performance of employees and volunteers engaged in the administration of contracts.

B. VOLUNTEERS

Funded Partners shall use the skills of volunteer staff whenever feasible and appropriate. Volunteers shall work under mutually beneficial working conditions, and they shall also be:

- 1) Screened and selected through a formal written and oral interview process that assesses their capabilities to perform appropriate duties;
- 2) Provided with written job descriptions outlining the skills required, duties to be performed,



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and lines of supervision;

- 3) Provided with the same basic orientation and training opportunities as paid personnel;
- 4) Evaluated at least annually;
- 5) Reimbursed for out-of-pocket expenses occurring as a result of their official duties; and,
- 6) Covered under the program's insurance policies as appropriate.

C. HIRING AND RETENTION

Background Checks: AAA4 strongly encourages Funded Partners providing direct care services to older adults conduct background checks of staff and volunteers that include employment history; criminal history; and credit checks.

D. REVIEW AND RECOGNITION

Funded Partners shall ensure that all paid and volunteer staff working on OAA services receive an annual personnel review of their performance. The review should also include goal setting for the subsequent year by both the employee/volunteer and their supervisor. To the extent practicable, Funded Partners should also formally recognize the accomplishments of their paid and volunteer staff on an annual basis.

E. TRAINING AND SUPPORT

Funded Partners shall ensure all paid and volunteer staff working in OAA services receive appropriate training. Funded Partners must have a written training plan designed to enhance each staff member's job performance. Training activities include but are not limited to:

- 1) Service orientation and training;
- 2) On-the-job training;
- 3) In-service training;
- 4) Cultural diversity training;
- 5) Training offered through AAA4, the California Department of Aging, appropriate federal agencies; and,
- 6) Educational opportunities provided through classes, workshops, conferences, and professional associations.

Funded Partners should also provide all paid and volunteer staff with a supportive workplace environment designed to enhance and maintain their physical and mental well-being.

F. DATA SECURITY

Funded Partners shall have in place operational policies, procedures, and practices, that comply with the HIPAA (the Health Insurance Portability and Accountability Act) Privacy Rule, to protect State information assets. Including those assets used to store or access electronic



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Personal Health Information (ePHI), Personal Health Information (PHI), Individually Identifiable Health Information (IIHI), Personal Identifying Information (PII), and any other information protected under HIPAA, including public, confidential, and sensitive information.

Funded Partners are also required to use a minimum of 128-Bit encryption on all computing devices (including but not limited to workstations, servers, laptops, personal digital assistants, notebook computers and backup media) and any portable electronic storage media (including but not limited to CDs, DVDs, Blu-Ray discs, thumb/flash drives, portable hard drives, and backup media) that store or are used to access any data collected under this Contract Agreement that is considered ePHI, PHI, PII, confidential, and/or sensitive.

G. MANDATED REPORTERS

Funded Partners shall ensure all paid and volunteer staff working in OAA services and having direct contact with older adults will receive mandated reporter training. In addition, all Funded Partners should have a written policy that specifies how instances of known or suspected elder abuse will be addressed.

H. DISASTER PREPAREDNESS

Funded Partners must:

- 1) Meet all federal, state, and local safety requirements as applicable.
- 2) Provide equipment that operates safely and effectively.
- 3) Develop and maintain an agency disaster plan which:
 - a) Enables uninterrupted services when possible;
 - b) Provides training to appropriate personnel on the disaster plan at least annually;
 - c) Ensures staff is familiar with the plan and can execute the plan in an emergency; and
 - d) Designates an Emergency Coordinator and an Alternate.

5. ASSETS, REVENUE & EXPENDITURES

The California Code of Regulations states "(i)n all instances a responsible bidder shall have the capacity to fulfill all contract responsibilities and, in the case of RFPs, adequate resources to carry out the proposal" CCR Section 7352(e). Therefore, AAA4 requires all Applicants to demonstrate they are fiscally sound.

A. FISCAL SUSTAINABILITY

Applicants are required to have a fiscal sustainability plan which identifies alternate resources that could be utilized in the event of an interruption or reduction of funding from AAA4.



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B. ASSETS

Assets include fixed assets (i.e., land, buildings, vehicles, machinery, furniture, computers, etc.) and long-term investments (i.e., stocks, bonds, real estate and cash).

AAA4 neither agrees to furnish nor to provide access to any assets the Applicant may need for the provision of services under this RFP beyond those explicitly identified in each Program Specification and Application. Nevertheless, successful Applicants may use OAA funds to lease or purchase certain assets in accordance with AAA4 policy.

C. REVENUE

Funded Partners are required to disclose all sources of funds and all expenditures of funds that are made to provide OAA services.

- 1) AAA4 Awards: Funds awarded under this RFP shall only be used for the purposes intended.
- 2) Program Income: Program income is revenue generated from contract supported activities. Program Income may not be used to meet match requirements. Any program income received must be used to expand or enhance the service that generated the income. Allowable sources include:
 - a) Voluntary Client Contributions: Funded Partner shall provide persons receiving services under an AAA4-funded program with a voluntary opportunity to contribute to the cost of the service (see Part II.J.6. above);
 - b) Income from usage or rental fees of real or personal property acquired with grant funds;
 - c) Royalties received on patents and copyrights from contract-supported activities; and,
 - d) Proceeds from the sale of items under a contract agreement.
- 3) Matching Contributions: Funded Partners who receive funding under Titles III-E of the OAA are required to contribute toward the cost of operating their services. The source of the contribution may be cash or in-kind by non-federal parties without charge to the Funded Partner. Cash match shall only be used to support OAA services for the purposes intended.

The required minimum matching contribution for Title III-E Family Caregiver and Support services is twenty-five percent (25%) of the combined total of all funds that will appear in the budget. See each Program Specification/Application for more information.
- 4) Other Sources of Income: Any income from other sources that will be used, in whole or in



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part, to support OAA services must be accounted for in accordance with AAA4 contract language.

D. EXPENDITURES

In most cases, Funded Partners' primary expenditures are for the personnel needed to provide the services. Expenditures will also be needed to meet audit and insurance requirements.

- 1) **Audits:** Funded Partners shall provide an annual, independent audit to AAA4 in accordance with the Contract Agreement.

All Funded Partners shall obtain a standard financial audit. The cost of this audit cannot be charged to the grant awarded by AAA4. This audit shall be received at AAA4 within 90 days after the end of the audit period. Should a Funded Partner not be able to submit its audit in a timely manner, an extension must be obtained in advance from AAA4.

As specified in HHS Title 45, Code of Federal Regulations (CFR), Part 74.26 a For-Profit entity is subject to the same audit requirements of a Non-Profit entity.

Any Funded Partner expending more than \$750,000 in federal funds within the contract agreement year shall arrange for and provide AAA4 with an audit as required by the Single Audit Act of 1984, Public Law 98-502, Single Audits Act Amendments of 1996, Public Law 104-156, and Title 2 CFR Part 200 Uniform Administrative Requirements Cost Principles and Audit Requirements for Federal Grants. The cost of this audit may be charged against federal grants (including those received from AAA4).

Applicants shall submit the following documents with their application:

- Most recent Independent Auditor's Letter
- Most recent Balance Sheet or Statement of Net Position
- Most recent Income Statement, Statement of Revenues and Expense, or Profit and Loss Statement
- Most recent Statement of Cash Flow

- 2) **Insurance:** Funded Partners shall secure and maintain all necessary insurance policies and bonding coverage for the duration of each contract period. Whole or proportional cost of insurance is an allowable contractual expense. For more information see Section VI: Contractual Agreements.

6. OVERALL SERVICE COST & VALUE

Overall Service Cost and Value is the sixth and final major factor upon which the Applicants under this RFP will be evaluated. More specifically, AAA4 shall consider the cost effectiveness of each



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proposal. At the same time, the Agency is neither obligated to select the lowest bidder nor obligated to select the only bidder. AAA4 does not offer performance-based contracts. Successful Applicants should be able to provide service values that are commensurate with service costs.

See each Program Specification and Application for details.