

Checklist for Review of State Program Reports

(04/14/99)

Regional Office: _____

Regional Office Reviewer: _____ Date: _____

Regional Administrator: _____ Date: _____

Section I

Estimated Unduplicated Counts of Clients Served Under Title III

A. Unduplicated Client Count by Type of Service

- IA1 is actual unduplicated count of persons who received one or more registered services. (Services 1-9.)
- IA2 is an estimate of persons receiving non-registered services. (Services 9-14 and Other.)
- IA3 is the estimated unduplicated total of IA1 and IA2. It is always at least equal to either IA1 or IA2 but usually is greater than either. It is never greater than the total of IA1 and IA2. It is never less than IA1 or IA2.
- IA1 is near the total of persons in all ethnic groups in Section B Column 1.
- IA2 is near the total of persons in all ethnic groups in Section B Column 2.
- IA3 is near the total of persons in all ethnic groups in Section B Column 3.
- Title III participation figures comport with known population characteristics of State.

Note: A person receiving registered services can also receive unregistered services and would be included in both counts.

- B. Title III Unduplicated Client Count by Characteristic
Column 1 (Clients for Registered Services)
- Includes unduplicated counts for each group.
 - Groups may overlap. That is, the same client may be African American, rural, in poverty, and in poverty with minority status etc.
 - Column 3 (Clients for All Services, both registered services and other services)
 - is not the total of columns 1 and 2 because of the overlap,
 - is never less than column 1 and never less than column 2.
 - Rural clients total is almost always less than the total of persons in all ethnic groups.
 - Clients in poverty is usually significantly less than the total of persons in the various ethnic groups.
 - Clients in poverty/minority is almost always less than clients in poverty.

Section II. Title III Utilization Profile

A. Service Use

- There should be data in all columns for services for which the State uses OAA funding.
- The total number of providers is always greater than or equal to the number of minority providers.
- The number of AAA's which provide a service directly is always less than or equal to the total number of providers.

- The number of persons served at high nutritional risk is reported to AoA only for Home Delivered Meals, Case Management, Congregate Meals, and Nutrition Counseling. States may collect nutrition risk information for additional or all services but that information is not reported to AoA.

- The unduplicated count of providers for all services is usually not the sum of the total number of providers for each service because often some providers provide more than one service.
- Same as item above for minority providers.
- Units per person is reasonable given the type of service.

Section II. Title III Service Utilization
B. Detailed Client Profile for Registered
Services (1-6)

For Service _____

For (Ethnic Group _____)

- There is one page for each service and each minority group. If all six services in cluster 1 are provided then there will be the equivalent of 36 pages of reports. (This assumes that all the Section II.B. information for each service and ethnic group is on one page. AoA's Brio Report for Section II.B. is on multiple pages.)
- Each cell should have a zero if the number is zero.
- If clients don't give information, the record should note the item(s) as missing. Don't use defaults.
- The sum of total clients served for the racial ethnic groups should equal the total clients served for a particular service.
 - The sum of Age Totals should bear a reasonable relationship to ADL/IADL totals plus missing ADL/IADL totals.
 - Male totals plus female totals plus missing gender information totals should equal sum of age totals across all four age brackets.
 - The sum of age totals plus missing age information should bear a reasonable relationship to total clients served for the racial/ethnic group for a service.

Section II. Title III Service Utilization
C. Summary Client Profile for Other
Registered Services (7-9)

For Service _____

For (Ethnic Group _____)

- There is one page for each service and each minority group. If all three services in cluster 2 are provided there will be the equivalent of 18 pages of reports. (This assumes that all the

- Section II.C. information for each service/ethnic group is on one page).
- Each cell should have a zero if the number is zero.
 - If clients don't give information, the record should note the item(s) as missing. Don't use defaults.
 - The sum of total clients served for the racial ethnic groups should equal the total clients served for a particular service.
 - Male totals plus female totals plus missing gender information totals should bear a reasonable relationship to the sum of age totals.
 - The sum of age totals plus missing age information should bear a reasonable relationship to total clients served for the racial/ethnic groups for a service.

Section III. Service Expenditures Profile

A. Title III Expenditures by Part and Service

- Include only services for which at least some Title III funds were expended.
- Total Title III funding includes only the Title III funding for that particular service not the whole Title III allotment.
- The percent of total service expenditure is calculated by using the following formula:

$$\text{Percent} = \left[\frac{\text{T-3 Funds Exp. for Serv.}}{\text{Total Funding for Service}} \right] \times 100$$

- The total amount from all sources for each service is reasonable.
- If any service is listed, all appropriate information must be listed.
- Program income includes donations and income earned through the expenditure of the Federal funds. It does not include charitable donations by clients or families or funds from other programs or agencies, or the amount of funds expended for the service.
- Program income is appropriate for the type of service. e.g. There is usually no program income for services such as outreach, I and A, nutrition education.

- For each Service, OAA Expenditures by Part must equal the Total Title III Expenditure.
- The sum of Title III funds shown must bear a reasonable relationship to the amount of funding available to the State for Title III as a whole and must equal the sum of the funding by program part.
- Line 15, Other Services Supported by Title III is a summary of the financial information in the optional Section IV "Profile of Other Non-Registered Services Supported by Title III.
- The Percent of Total Service Expenditure on line 15 is based on the sum total of all "OAA Service Expenditure" figures divided by the sum total of all "Total Service Expenditures" figures calculated for each service category.

B. Title VII Expenditures by Chapter

- Amounts must correspond with allotments
- % of Total Expenditure is calculated in same way as % of Title III expenditures shown above.

Section IV. Profile of Other Non-Registered Services Supported by Title III

- All fields must be completed for each service listed.
- See above for formula for calculating % of total service expenditure.
- Include only one mission/purpose code for each service.

Section V. Developmental Accomplishments

A. For Home and Community Based Programs

- Include only the top three accomplishments
- Include only a single code for the type of development.

Section V. Developmental Accomplishments
B. For A System of Elder Rights

- Include only the top three accomplishments
- Include only a single code for the type of development.

Section VI. Profile of Community Focal Points and Senior Centers

- Line 2 may not be greater than line 1.
- Line 4 may not be greater than line 3.
- Numbers of senior centers and focal points agree with knowledge of senior centers and focal points in the State.

Section VII. Staffing Profile

A. State Unit on Aging and

B. Area Agencies on Aging

(Note: SUA staffing record must have the code "=99"

- All numbers represent full-time equivalent positions not persons employed.
- Line 5 is the total of lines 1 through 4.
- Column 2 may not be greater than column 1.
- Column 3 may not be greater than column 1.
- Note that volunteers refers to the computed number of full-time equivalent positions, not the number of volunteers assisting the SUA or the AAA's.

X-Files

These are items that Regional Offices will be expected to review in the X-Files.

- Compare how Title III participation figures comport with known population characteristics of State.
- Compare figures for a State with those of all other States. e.g. We would expect Idaho to serve fewer persons than California or Florida.
- Compare the figures for a State with those of the U.S. as a whole. In most circumstances, each State will have a relatively small number compared to the U.S. total. Be wary when a State has a large percentage of the national total
- Compare a State's poverty and poverty/minority figures with similar States.
- Compare rural participation figures with knowledge of the State and with other States.
- Look for missing data or zeroes where one would normally expect a figure.
- Look for exceptionally large or exceptionally small figures. e.g. A State may have inadvertently added or dropped a digit.
- Compare minority participation patterns with known population figures of the States.
- Look at percents as well as numbers to get a perspective on appropriateness of the data.
- Compare x-file service data with expected figures. e.g. All States may not provide Personal Care services but all will provide congregate and home delivered meals.
- Compare percentages of expenditures with knowledge of the State's allotments. e.g. Nutrition programs will usually account for over one-half of OAA expenditures.
- See if the total amount expended by a State for either a specific service or for all services meets the reality test. e.g. Does a small State such as Wyoming really spend \$40,000,000 for Information and Assistance?
- See if the number of providers, minority providers, and AAA providers for a State seems reasonable given your knowledge of the State.
- Compare SUA and AAA staffing levels with known or expected staffing levels.
- Be alert to confusion between FTE's and staff, especially for volunteer staff.

- Compare full-cost-per-unit for various services with expected costs and national average cost. e.g. Full costs for legal services may be as high as \$50 per unit but would not be \$3,500 per unit. Similarly, \$.03 per unit for anything is probably not accurate.
- Compare expenditures per provider with knowledge of the State and the service.
- Compare cost per person (both full cost per person and OAA cost per person) for a service with cost per person in other States and expected cost for a particular service.
- Compare units per person with national average, other States, and knowledge of the State and the service.
- Compare program income for a particular service with program income generated by other States for that service.
- Compare targeting of a State (percent targeted to certain groups) with expected targeting.
- Compare year-to-year figures of a State. e.g. FY 1996 data with FY 1997. Keep in mind that some changes may be due to administrative decisions rather than errors or less productivity.