

PROGRAM 17 – HOME AND COMMUNITY-BASED SERVICES

SENIOR GRANT PROGRAM

DEPARTMENT OF HEALTH AND SOCIAL SERVICES

I. PROGRAM OBJECTIVES

The Home and Community-Based (HCB) Senior Grant Program utilizes state, federal and Mental Health Trust funds to provide services that will assist seniors to remain independent as they age in their homes and communities throughout the state. The HCB Senior Grant Program includes four components which include adult day services, senior in-home services, national family caregiver support program, and Alzheimer's disease and related disorders (ADRD) education and support services.

II. PROGRAM PROCEDURES

Funding for these programs is distributed through a competitive grant process and is administered by the Division of Senior and Disabilities Services (DSDS). Programs are developed within each component to target specific needs of seniors with greatest physical, economic, and social needs. Individuals who receive services under the Home and Community-Based Medicaid waiver program are not eligible for HCB Senior Grant Services that are Medicaid reimbursable. The HCB Senior Grant Services component provides services to assist physically frail or disabled seniors and their caregivers so that they are able to remain at home for as long as possible delaying or avoiding institutional care. These programs provide a variety of services that include adult day care, information and assistance, care coordination, respite, chore, extended respite, supplemental services, support services such as education and training for unpaid family caregivers and grandparents raising grandchildren, legal assistance, education to families and caregivers of individuals with dementia and a variety of other support services.

III. COMPLIANCE REQUIREMENTS AND SUGGESTED AUDIT PROCEDURES

A. TYPES OF SERVICES ALLOWED OR UNALLOWED -

1. **Compliance Requirements:** The HCB Senior Grant Services provide more intensive personal care directed to clients at risk of institutionalization. Services are funded with a blend of state general funds and Title III-E funds. HCB Services include the following programs:
 - a. **Adult Day Centers** provide planned and supervised daytime activities for physically frail or disabled seniors age 60 and over; adults of any age with Alzheimer's Disease and Related Disorders (ADRD); and adults age 18 and over with similar disabilities and service needs as older Alaskans who are at risk for institutionalization if the provision of care is of benefit to other participants and does not diminish services to the primary group of persons being served, and if the cost of care is paid in full by some source other than DSDS grant funds.

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- b. Senior In-Home Services Program provides care coordination, chore, respite and extended respite, and supplemental services by trained care providers to physically frail seniors 60 and over and adults of any age with ADRD.
- c. National Family Caregiver Support Program provides support to caregivers of adults 60 and over and to grandparents 55 and over raising grandchildren under 18. Support services include information, assistance, counseling, support groups, training, respite and supplemental services.
- d. ADRD Education and Support Services is a sole source grant to provide statewide education and support services to people with Alzheimer’s disease and related disorders and their caregivers, as well as education about ADRD to the general public, healthcare professionals, professional caregivers, agencies and organizations

Funds for HCB Senior Grant program must be spent only to support the above services. The specific grant identifies the services to be provided and any exceptions must be approved by the DSDS through special grant conditions. Grantees that receive funds for more than one service will receive a separate Grant Award (GA) for each type of service.

Suggested Audit Procedures: Test financial and related records to determine that funds expended were for purposes specified in the grant.

- a) Review grant agreement (GA) including all conditions;
- b) Review grant revisions and amendments and related transmittal letters;
- c) Review licenses, certifications, approvals, status of private nonprofit corporation if applicable;
- d) Review budget documents including final revised budget and budget narrative; and
- e) A copy of the most recent Request for Proposal(s)

- 2. **Compliance Requirement:** Costs allowed or unallowed under this program are determined by grant regulations 7 AAC 78 as well as budget documents and special conditions.

Suggested Audit Procedures:

- a) Review Department of Health and Social Services’ grant regulation 7 AAC 78 and budget documents;
- b) Test financial and related records to determine the appropriateness of costs per 7 AAC 78; and
- c) Determine whether expenditures are within the budget limits prescribed by 7 AAC 78.260(f)(1).

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B. ELIGIBILITY -

1. **Compliance Requirement:** Recognized local governments and nonprofit corporations registered in the State of Alaska are eligible for grants.
Suggested Audit Procedures: Review articles of incorporation or other appropriate documentation, licenses, certifications and approvals to determine status of agency.

C. MATCHING, LEVEL OF EFFORT AND/OR EARMARKING REQUIREMENTS -

1. **Compliance Requirement:** All HCB Senior Grant programs must provide required match as described in the grant award. Local match must be comprised of cash or in-kind items necessary to provide the services of the grant. In-kind match items must be items for which DSDS grant dollars could be used if they were available. In HCB programs, program income and client fees for service may be used to meet match.
Suggested Audit Procedures:
 - a) Review final Grant Award to identify the required level of local match;
 - b) Review the agency's accounting records to determine whether local match has been contributed to the project according to the terms and conditions of the grant.

D. REPORTING REQUIREMENTS -

1. **Compliance Requirement:** Quarterly reports are due to the DHSS grants administrator within thirty days (30) following the end of each quarter.
Suggested Audit Procedures:
 - a) Confirm if all reports were filed timely;
 - b) Verify that reported revenues and expenditures agree with the agency's general ledger; and
 - c) Confirm that expenditures are within the budget limits.
2. **Compliance Requirement:** The agency's audit report must present a statement of revenue and expenses, budget and actual, for each state grant. Such statements must show, for each state fiscal year grant, the final approved budget by line item category, actual revenues and expenditures and variance between budgeted and actual revenues and expenditures. Disallowed or questioned costs must be clearly disclosed.
Suggested Audit Procedures:
 - a) Review grant regulation 7 AAC 78.230.
 - b) Review audit report for compliance with the above.
3. **Compliance Requirement:** The agency must clearly show on their audit report any outstanding liability to the state as payable to the state. This includes unspent grant funds and disallowed costs.

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Suggested Audit Procedures:

- a. Determine whether or not the agency has any outstanding liability to the state.
- b. Review grant regulation 7 AAC 78.230.
- c. Review audit report to ensure proper presentation.

E. SPECIAL TESTS AND PROVISIONS -

1. **Compliance Requirement:** Each employee of an agency providing publicly funded home care services under this program (care coordination, chore, respite, adult day services, personal care, home health, and similar services), including volunteer staff and Senior Employment Program participants, must have a criminal background check done by the Department of Public Safety, pursuant to AS 12.62.035. Each grantee must adhere to this statute and pursuant regulations.

Suggested Audit Procedures: Review records to verify that each employee performing home care services has had a criminal background check.

2. **Compliance Requirement:** The agency must act upon any recommendations made by program site review.

Suggested Audit Procedures:

- a. Obtain copy of program site review; and
- b. Determine if recommendations in the site review are being implemented.