



Record Keeping and Reporting

2018 Title VI National Training and Technical Assistance
Conference

Washington, DC

August 13, 2018





Report Data Units and Definitions



Part A and Part B

Record Keeping

LIST OF UNDUPLICATED COUNT

Keep track on a regular basis an unduplicated list of the names of eligible participants who receive supportive services (e.g., transportation, information, and referral). A participant's name will only go on the list one time each year. Start the list April 1 and end the list March 31st. Each program must keep a separate unduplicated list for congregate, home delivered, and supportive services. A name can go on more than one list but can only appear once on each list.

1.	33.	65.
2.	34.	66.
3.	35.	67.
4.	36.	68.
5.	37.	69.
6.	38.	70.
7.	39.	71.
8.	40.	72.
9.	41.	73.
10.	42.	74.
11.	43.	75.
12.	44.	76.
13.	45.	77.
14.	46.	78.
15.	47.	79.
16.	48.	80.
17.	49.	81.

Sample
from
Title VI
Resource
Manual

Daily Services Log

<u>SENIOR PROGRAM</u>	
Participant Names	
Date: _____	
Congregate Meals	MEALS
Home Delivered Meals	ACCESS
Information/Referral	
Outreach	
Transportation	
Legal Assistance	LEGAL
Homemaker	IN-HOME
Home Health Aid	
Chore	
Telephoning	
Visiting	
Family Support	
Ombudsman	OMBUDSMAN
Advocacy	ALL OTHER SERVICES
Assessment	
Counseling	
Cultural	
Education	
Escort	
Income Support	
Interpretation	
Translation	
Letter writing/Reading	
Physical Fitness	
Recreation	
Shopping	
Volunteers	
Cash	

Sample
from
Title VI
Resource
Manual

2015 Nutrition Services: Units of Congregate Meals

Group	Geography ▲	Congregate Meals
Total	50 States + DC	2,428,575
AoA Regions	AoA Region I	49,975
	AoA Region II	21,474
	AoA Region IV	67,575
	AoA Region V	212,679
	AoA Region VI	911,700
	AoA Region VII	82,700
	AoA Region VIII	311,677
	AoA Region IX	293,795
	AoA Region X	477,000

2015 Nutrition Services: Units of Home Delivered Meals

Group	Geography ▲	Home Delivered Meals
Total	50 States + DC	45,595
AoA Regions	AoA Region I	931
	AoA Region II	199
	AoA Region IV	319
	AoA Region V	1,736
	AoA Region VI	11,161
	AoA Region VII	459
	AoA Region VIII	19,980
	AoA Region IX	4,189
	AoA Region X	6,621

Report Data Units and Definitions

An **Eligible** Person is:

- An Indian elder
- A spouse of an Indian elder
- Individuals providing volunteer services for the Title VI program
- Non-elderly Person with disabilities who reside at home with and accompany an elder to the meal, or who reside in housing facilities occupied primarily by the elder

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Congregate Meal: A meal provided to an eligible person at a nutrition site, senior center, or other congregate/group setting for the grant year April 1 to March 31. The meal meets all the requirements of OAA.</p>	1 Meal
<p>Home-Delivered Meal: A meal provided to an eligible person in their place of residence for the grant year April 1 to March 31. The meal meets all the requirements of OAA.</p>	1 Meal
<p>Nutrition Education: A program to promote better health by providing accurate and culturally sensitive nutrition, physical fitness, or nutrition-related health information and instruction to participants, caregivers, or both participants and caregivers in a group or individual setting overseen by a dietician or individual of comparable expertise.</p>	1 Hour
<p>Nutrition Counseling: Provides individualized advice and guidance to individuals who are at nutritional risk. Counseling is performed by a registered dietitian or other health professional to address options and methods for improving nutrition status.</p>	1 Hour

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Information/Referral: A service that:</p> <ul style="list-style-type: none"> ✓ provides individuals with information on services available within the communities; ✓ links individuals to the services and opportunities that are available within the communities; ✓ to the maximum extent practicable, establishes adequate follow-up procedures. 	1 Contact
<p>Outreach: Conduct public outreach activities and provide information directed at individuals and groups to encourage potential elders or their caregivers to use existing services and benefits, i.e. booth at health fair, public announcements, public presentations, newsletter, etc.</p>	1 Event

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Case Management: Activities include such practices as assessing needs, developing care plans, authorizing and coordinating services among providers, and providing follow-up and reassessment, as required.</p>	1 Hour
<p>Transportation: Transportation from one location to another. Does not include any other activity.</p>	1 One Way Trip
<p>Legal Services: Legal advice, counseling and representation by an attorney or other person acting under the supervision of an attorney.</p>	1 Hour
<p>Homemaker Services: Assistance such as preparing meals, shopping for personal items, managing money, using the telephone or doing light housework.</p>	1 Hour

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Personal Care/Home Health Aid Service: Providing assistance with</p> <ul style="list-style-type: none"> • eating, dressing, and bathing, toileting, transferring in and out of bed/chair or walking. • health related tasks such as checking blood pressure and blood glucose and assistance with personal care. • cleaning and maintaining the house, managing money, preparing meals. 	1 Hour
<p>Chore Service: Performance of heavy household tasks provided in a person’s home. Tasks may include yard work or sidewalk maintenance in addition to heavy housework; such as heavy cleaning, yard work, snow shoveling, minor home repair, wood chopping, hauling water, and other heavy-duty activities which the Elder is unable to handle on their own and which do not require the services of a trained homemaker or other specialist.</p>	1 Hour

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Visiting: Includes going to see an Elder to reduce social isolation, wellness check (a visual check of an Elder to see if they need anything), to comfort or help in reading or writing a letter, etc. This may include visiting in a personal home or a facility such as nursing homes or assisted living facilities.</p>	1 Contact
<p>Telephoning: Includes phoning in order to provide comfort or check on the Elder.</p>	1 Contact
<p>Family Support: Providing services to family members who care for an elder such as counseling or discussing the elder’s situation.</p>	1 Contact
<p>Ombudsman: Investigating and resolving complaints made by or for older Indians residing in long-term care facilities; provide information about problems of resident older Indians. The service is to be provided by state-certified Long Term Care Ombudsman.</p>	1 Contact

Report Data Units and Definitions (Continued)

Part A & Part B	Unit of Service
<p>Health Promotion and Wellness: Activities conducted to improve the mental and physical health of elders, including walking groups, exercise classes, other types of recreation, and health education classes on health care.</p>	<p>1 Hour (per person for group activity)</p>
<p>Others:</p> <ul style="list-style-type: none"> • <u>Assessment</u>: Collecting necessary information about a client to determine need and/or eligibility for a service. Information collected may include demographics, health status, financial status, etc. and may also include routine tests such as blood pressure, hearing, vision, etc. • <u>Escort Service</u>: Accompanying and personally assisting a client to obtain a service. • <u>Public Information</u>: Writing, reproducing and mailing a program newsletter; writing a newspaper column; or providing a radio/television interview. 	<p>1 Contact</p> <p>1 Contact</p> <p>1 Hour of preparation</p>



Part C



Report Data Units and Definitions

Caregiver:

- An adult family member or another individual, who is an “informal” provider of in-home and community care to an older individual. “Informal” means that the care is not provided as part of a public or private formal service program for which the caregiver receives payment.

Grandparent or other older relative caregiver of a child – A grandparent, step grandparent or other relative of a child by blood or marriage, who is 55 years of age or older and:

- lives with the child;
- is the primary caregiver of the child because the biological or adoptive parents are unable or unwilling to serve as the primary caregiver of the child; and
- may either have a legal relationship to the child, as such legal custody or guardianship, or is raising the child informally.

Report Data Units and Definitions (Continued)

Part C	Unit of Service
<p>Information: A public and media activity that conveys information to caregivers about available services, which can include an in-person interactive presentation to the public, i.e. a booth/exhibit at a fair, conference, or other public event; and a radio, TV, or Web site event.</p>	1 Activity
<p>Access Assistance: A service that</p> <ul style="list-style-type: none"> ✓ provides the individual with current information on opportunities and services available within their communities, including information relating to assistive technology; ✓ assesses the problems and capacities of the individual; ✓ links the individual to the opportunities and services that are available; ✓ ensures that the individual receives the services needed and are aware of the opportunities available to them, by establishing adequate follow-up procedures; and ✓ serves the entire community of older individuals. 	1 Contact

Report Data Units and Definitions (Continued)

Part C	Unit of Service
<p>Counseling: Support caregivers to assist them in making decisions and solving problems relating to their caregiver roles. Counselors are degreed service providers, trained to work with older adults and families to address complex problems related to caregiver roles. This includes counseling to individuals, support groups, and caregiver training (of individual caregivers and families).</p>	1 Hour
<p>Support Group: A service that is led by an individual, moderator, or professional to facilitate caregivers to discuss their common experiences and concerns and develop a mutual support system.</p> <ul style="list-style-type: none"> ✓ Support groups are typically held on a regularly scheduled basis and may be conducted in person, over the telephone, or online. ✓ Caregiver support groups would not include caregiver education/training group, or other groups primarily aimed at teaching skills or meeting on an informal basis without a facilitator. 	1 Hour (per person in attendance)

Report Data Units and Definitions (Continued)

Part C	Unit of Service
<p>Caregiving Training: A service that provides family caregivers with instruction to improve knowledge and performance of specific skills relating to their caregiving roles and responsibilities. Skills may include activities related to health, nutrition, and financial management; providing personal care; and communicating with health care providers and other family members. Training may include use of evidence-based programs; be conducted in-person or on-line; and be provided in individual or group settings.</p>	1 Hour (per person in attendance)
<p>Supplemental Service: A service provided on a limited basis, to caregivers, such as Elders, children, adults with disabilities, Alzheimer's, to complement the care provided by caregivers. Examples of supplemental services include but are not limited to a lending closet, chair lifts, emergency response systems, incontinence supplies, home modifications (such as putting in hand rails or ramps), school supplies, etc.</p>	1 Person

Report Data Units and Definitions (Continued)

Part C	Unit of Service
<p>Respite: Services which offer temporary, substitute supports or living arrangements for care recipients in order to provide a brief period of relief or rest for caregivers. Respite Care includes:</p> <ul style="list-style-type: none">✓ In-home respite (personal care, homemaker, and other in-home respite);✓ Respite provided by attendance of the care recipient at a senior center or other nonresidential program;✓ Institutional respite provided by placing the care recipient in an institutional setting such as a nursing home for a short period of time as a respite service to the caregiver; and (for grandparents caring for children) summer camps. <p>NOTE: Respite care is for caregiver only.</p>	1 Hour



Program Performance Reports (PPRs)

Reporting Timeline

Program Performance Reports

Part A/B and Part C

- Due annually:
DON'T cumulate numbers from prior year(s)
- Budget period: April 1 – March 31
- Due date: June 30



Grant Number	Report Ending		Year	Forms	Work On	Submitted By	Last Action	By	Action
269 Reports									
	3/31/2006	A	2005	3/3	[icon]	--	A	tduffin	
	3/31/2007	A	2006	3/3	[icon]	--	A	tduffin	
	3/31/2008	A	2007	3/3	[icon]	--	A	tduffin	
	3/31/2009	A	2008	3/3	[icon]	--	A	tduffin	
	3/31/2010	A	2009	3/3	[icon]	--	A	tduffin	
425 Reports									
	3/31/2011	A	2010	3/3	[icon]	--	A	tduffin	
	3/31/2012	A	2011	3/3	[icon]	--	A	tduffin	
	3/31/2013	A	2012	3/3	[icon]	--	A	tduffin	
	3/31/2014	A	2013	3/3	[icon]	--	A	fyee	
	3/31/2015	A	2014	3/3	[icon]	--	A	fyee	
	3/31/2016	A	2015	3/3	[icon]	--	A	fyee	
	3/31/2017	A	2016	3/3	[icon]	--	A	fyee	
	3/31/2018	P	2017	0/3	[icon]	--	U	--	
PPR Reports									
	3/31/2006	A	2005	2/2	[icon]	--	A	ncannon	
	3/31/2007	A	2006	2/2	[icon]	--	A	partc	
	3/31/2008	A	2007	2/2	[icon]	--	A	partc	
	3/31/2009	A	2008	2/2	[icon]	--	A	partc	
	3/31/2010	A	2009	2/2	[icon]	--	A	partc	
	3/31/2011	A	2010	2/2	[icon]	--	A	partc	
	3/31/2012	A	2011	2/2	[icon]	--	A	partc	
	3/31/2013	A	2012	2/2	[icon]	--	A	partc	
	3/31/2014	A	2013	2/2	[icon]	--	A	partc	
	3/31/2015	A	2014	2/2	[icon]	--	A	szylstra	
	3/31/2016	A	2015	2/2	[icon]	--	A	szylstra	
	3/31/2017	A	2016	2/2	[icon]	--	A	Szylstra	
	3/31/2018	P	2017	0/2	[icon]	--	U	--	

You will see only PPR or SF425 repots depends on your profile.

425 Reports

PPR Reports

Reports ended 3/13/18 should be submitted by now

Part A: PPR



Report Details Instructions:

1. This page shows you the forms that make up this grant report. You may either View or Edit the report by clicking on the links under the 'Actions' column.
2. Select an action (ie: View/Print, Edit Report) to continue.
3. If you have completed each of the forms that make up this grant report you will see a 'Submit Report' button below. When you are ready you can click this button to submit your grant report.

Report Information

Organization Name :

Grant Number :

Address :

City :

State :

Zip Code :

Type : PPR

Filled out by ACL

Forms to Complete This Report

When ALL reports are completed please be sure to click the **Submit Report** button below.

Select "Edit" otherwise your reports cannot be saved

Form	Actions	Completed	Has ?	Part	Description
T6CG	View / Edit	<input type="checkbox"/>	Has ? <input type="checkbox"/> Date : <input type="text"/> mm/dd/yyyy	Part C	Title VI grantees are required to submit the Program Progress Reports annually.
T6NS	View / Edit	<input type="checkbox"/>	Has ? <input type="checkbox"/> Date : <input type="text"/> mm/dd/yyyy	Part A/B	Title VI grantees are required to submit the Program Progress Reports annually.

[Update Has Report Status](#)

General Information

Organization Name	
Grant Number	
Address	
City	
State	
Zip Code	
Type :	PPR
Report For the Year :	2017

Generated by ACL

Section A: Staffing Information

* a.	Full time Staff	
* b.	Part Time Staff	
Total Staff :		0

This field will be auto-filled after lines a and b are completed

Section B: Nutrition Services

UNDUPLICATED: each person gets counted only one time each year in each category regardless of how many services they receive during the year

* 1. Congregate Meals		
a.	UNDUPLICATED NUMBER of eligible persons who received one or more congregate meals :	<input type="text"/>
b.	TOTAL NUMBER of congregate meals served :	<input type="text"/> → 1 meal
* 2. Home-Delivered Meals		
a.	UNDUPLICATED NUMBER of eligible persons who received one or more home-delivered meals :	<input type="text"/>
b.	TOTAL NUMBER of home-delivered meals served :	<input type="text"/> → 1 meal
* 3. Other Nutrition Services		
a.	Nutrition Education :	<input type="text"/> → 1 hour
b.	Nutrition Counseling :	<input type="text"/> → 1 hour

NOTE: This includes spouses; individuals providing volunteer services during meal hours non-elderly handicapped or disabled who reside at home with and accompany elderly people, or who reside in housing facilities occupied primarily by the elderly.

Section C: Supportive Services

UNDUPLICATED: each person gets counted only one time each year in each category regardless of how many services they receive during the year

* 1.	Supportive Services	
a.	UNDUPLICATED NUMBER of eligible Indians who received one or more of the supportive services below.	<input type="text"/>

* 2.	TOTAL NUMBER OF UNITS OF SERVICE in the following categories :	
		Units

ACCESS SERVICES		
a.	Information Referral	<input type="text"/>
b.	Outreach	<input type="text"/>
c.	Case Management	<input type="text"/>
d.	Transportation	<input type="text"/>

1 contact

1 event

1 hour

1 one-way trip

LEGAL SERVICES		
a.	Legal Assistance	<input type="text"/>

1 contact

IN HOME SERVICES		
a.	Homemaker Service	<input type="text"/>
b.	Home Health Aid Service	<input type="text"/>
c.	Chore	<input type="text"/>
d.	Visiting	<input type="text"/>
e.	Telephoning	<input type="text"/>
f.	Family Support	<input type="text"/>

1 hour

1 hour

1 hour

1 contact

1 contact

1 contact

OMBUDSMAN SERVICES

a. Ombudsman Services

1 contact (services performed by Long Term Care Ombudsman certified by state)

HEALTH PROMOTION AND WELLNESS

a. Health Promotion and Wellness

1 hour (per person for group activity)

ALL OTHERS

a. All Others

Assessment: 1 contact
Escort service: 1 contact
Public information: 1 hour prepare
Interpreting/translating: 1 contact

Additional Remarks & Contact Information

Remarks

Enter remarks here, i.e. 10% variance or more in meals provided from previous year, etc.

Part C: PPR



View/Print PPR | Part C Report

[Back](#)

General Information

Organization Name :	
Grant Number :	
Address :	
City :	
State :	
Zip Code :	
Type :	PPR
Report For the Year :	2017

Generated by ACL

Section A: Staffing Information

* a. Full time Staff	
* b. Part Time Staff	
Total Staff :	0

This field will be auto-filled after lines a and b are completed

Section B: Caregiver Support Services

Enter the UNDUPLICATED NUMBER of eligible Indians who received each category of support services in the "Unduplicated Number" column. Enter the TOTAL NUMBER of units of services provided from all sources of funds (excluding Title III) in the "Total Number" column.

Category	Unduplicated Number	Total Number	
* a. Information about available services	<input type="text"/>	<input type="text"/>	→ One activity
* b. Assistance in gaining access to available services	<input type="text"/>	<input type="text"/>	→ One contact
* c. Caregiver Services			
a) Individual Counseling	<input type="text"/>	<input type="text"/>	→ One hour
b) Support Groups	<input type="text"/>	<input type="text"/>	→ One hour
c) Caregiver Training	<input type="text"/>	<input type="text"/>	→ One hour
d) Lending Closet	<input type="text"/>	<input type="text"/>	→ One item
e) Other	<input type="text"/>	<input type="text"/>	
* d. Respite	<input type="text"/>	<input type="text"/>	→ One hour

Total number of services

Section C: Coordination Activities:

* Briefly describe your coordination activities in providing supportive services for caregivers :

Section D: Standards & Quality Assurance:

* Briefly describe the standards and quality assurance mechanisms you are using :

Additional Remarks & Contact Information

Remarks

Enter narratives here up to 3,000 keystrokes

Enter any remark here

13. Certification

* Report Completed By :

* Phone Number :

Email :

Date Report Submitted :

Enter contact name, phone number and email address of the person who completed the report.

Press this button if you wish to save your work on the report but have not completed it yet.

Save Report

Save the report for future review/edit

If you have completed the report press this button.

Complete Report

Click here if this report is completed and ready for submission

After all reports are completed, click "Submit" button

Server Error

404 - File or directory not found.

The resource you are looking for might have been removed, had its name changed, or is temporarily unavailable.



**What is this?
Did my reports go through online?
Should I worry about it?**

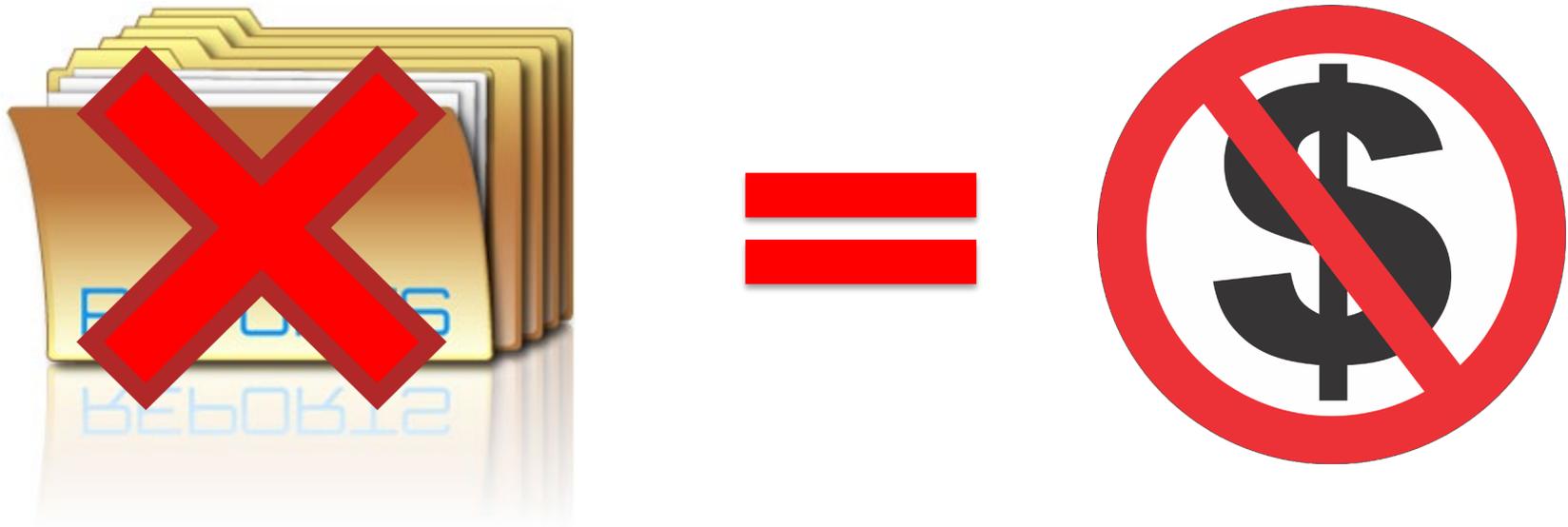


Problems with PPRs

- ❑ Timeliness of submission
- ❑ Accuracy of data: numbers are
 - ~ Not reasonable: i.e. more elders than service provided.
 - ~ Not accurate: huge spike or decrease of participants and/or units of service provided with no explanation:
 - NOTE:** If your number of clients or your total meals served with a 10% variance between 2016 and 2017, contact ACL regional staff. Also enter an explanation in “Remarks” box.
 - ~ Not comparable to application.
 - ~ Missing.

Consequence of Delinquent Reports

- Reduction in NSIP award
- Suspension of grant awards



Resources

- <https://www.acl.gov>
- <https://olderindians.acl.gov>
- <https://pms.psc.gov>



It Takes A Village!

- Keep constant communication between Title VI director/staff and fiscal staff
 - Know status of your grant awards and expenditure
 - Draw funds from PMS, and submit quarter FCTRs to PMS timely
 - Ensure all awards are fully obligated by end of 3-year project period
 - Submit both PPR and SF425 timely
- Keep in touch with your ACL Program Specialist and/or ACL Fiscal Specialist

ACL Regional Contacts

Project Officer	Fiscal Specialist	# of Grants
Rhonda Schwartz (CT, MA, ME, RI, NY) Email: rhonda.schwartz@acl.hhs.gov Phone: 617-565-1165	Damian Francis Email: Damian.Francis@acl.hhs.gov Phone: 212-264-4343	12 Part A 9 Part C 12 NSIP
Joyce Robinson-Wright (AL, MS, NC, SC) Email: joyce.robinson-wright@acl.hhs.gov Phone: 404-562-7594	Dorothy Smith Email: dorothy.smith@acl.hhs.gov Phone: 404-562-7595	4 Part A 4 Part C 4 NSIP
Lacey Boven (IA, KS, MI, MN, MO, NE, WI) Email: lacey.boven@acl.hhs.gov Phone: 312-938-9856	Alice Kelsey Email: alice.kelsey@acl.hhs.gov Phone: 312-938-9860	36 Part A 31 Part C 36 NSIP
Courtney Hoskins (CO, MT, ND, NM, WY) Email: courtney.hoskins@acl.hhs.gov Phone: 303-844-7819 Derek Lee (LA, SD, TX) Email: derek.lee@acl.hhs.gov Phone: 214-767-1865 Larry McClendon (OK) Email: larry.mcclendon@acl.hhs.gov Phone: 214-767-1841	Robin Boldoe Email: robin.boldoe@acl.hhs.gov Phone: 214-767-1805	77 Part A 68 Part C 76 NSIP
Dennis Dudley (AZ, HI, NV) Email: dennis.Dudley@acl.hhs.gov Phone: 415-437-8789 Shelly Zylstra (AK, CA, ID, OR, WA) Email: Rachelle.zylstra@acl.hhs.gov Phone: 206-615-2299	Fong Yee Email: fong.yee@acl.hhs.gov Phone: 415-437-8784	140 Part A 1 Part B 125 Part C 135 NSIP



- If you have remaining 2017 funds, you can carryover to 2018 without ACL approval until the current 3-year project period ends on March 31, 2020.
- All 2017-2020 funds must be obligated by March 31, 2020 and liquidated by June 30, 2020.
 - Obligations must be in writing, i.e. purchase order, contract, etc.
 - ACL would not be bound by a verbally agreed upon arrangement.
- Unobligated 2017-2020 funds will be lost as of April 1, 2020. No carryover is allowed.
- Final annual PPRs and final cumulative SF425s are due by June 30, 2020.
- Notify ACL immediately for change(s) of tribal chair, Title VI director and/or fiscal official to keep ACL mailing list current.

2016 ACL Regional Staff



From left to right (taken at 2016 National Title VI Conference, Denver, CO):

Lacey Boven, Rhonda Schwartz, Shelly Zylstra, Courtney Hoskins, Susan Raymond, Darrick Lam, Fong Yee, Dennis Dudley, Larry McClendon

2017 ACL Regional Staff



From left to right (taken at 2017 National Title VI Conference, Mystic Lake, MN):

Robin Boldoe, Lacey Boven, Fong Yee, Derek Lee, Courtney Hoskins, Joyce Robinson-Wright, Rhonda Schwartz, Larry McClendon