

PROGRAM INSTRUCTION

AoA-PI-08-01

TO: STATE AGENCIES ON AGING ADMINISTERING
PLANS UNDER TITLE III OF THE OLDER
AMERICANS ACT OF 1965, AS AMENDED

SUBJECT: Guidance on the Development and Submission of State
Plans, Amendments and Intrastate Funding Formulas

LEGAL AND RELATED

REFERENCES: Sections 305, 306, 307, 308, 373, and 705, of the Older
Americans Act of 1965, As Amended

The purpose of this Program Instruction (PI) is to provide States with guidelines for use in developing and submitting FY 2009 State Plans and amendments including intrastate funding formula (IFF) requirements. Program Instruction PI-07-01, dated 04-19-07, is superseded by this PI. These guidelines are effective immediately and will remain so until replaced. *The PI is made up of the following contents:*

- I. State Plan Vision and Purpose
- II. State Plan Content
 - a. Executive Summary
 - b. Context
 - c. Goals and Objectives
 - d. Strategies
 - e. Outcomes and Performance Measures
- III. State Plan Submission and Approval
- IV. Intra-State Funding Formula Submission and Approval
- V. Attachments

I. State Plan Vision & Purpose

The Administration on Aging envisions a State Plan on Aging serving as a comprehensive plan document, articulating:

- State long-term care reform efforts with emphasis on home and community-based services.
- Key strategies the state is employing to address the growing new generation of consumers (“baby boomers”) requesting home and community-based services.

- Priorities, innovations and progress the state seeks to achieve in addressing the challenges of an aging society.

Ideally, the State Plan should serve multiple roles or purposes. These include:

- **Documenting** the tangible outcomes achieved and to be achieved as a result of state long-term care reform efforts.
- **Translating** activities, data, and outcomes into proven best practices, which can be used to leverage additional funding.
- **Providing a blueprint** that spells out the ways the state will implement the principles included in [Choices for Independence](#), enacted as part of the [Older Americans Act 2006 Amendments](#)

The key strategic principles and objectives for Choices are:

- **Empowering consumers** to make informed decisions about their care options.
- **Helping those at high risk of nursing home placement**, but who are not yet eligible for Medicaid, to remain in their own homes and communities through the use of flexible financing and service models, including consumer-directed models of care.
- **Building evidence-based prevention** into our community-based systems of services, and enabling older people to make behavioral changes that will reduce their risk of disease, disability, and injury.

The national aging services planning model, a product developed by the National Association of State Units on Aging (NASUA) under the AoA Planning Grants Project, is available (<http://stateplanning.nasua.org>) to assist States in the development of the FY 2009 plans. This web based tool will provide the resources necessary to develop a comprehensive, yet concise, State Plan on Aging.

II. State Plan Content

The narrative of the well constructed, concise State plan should comprise approximately 20 pages (excluding attachments) and should clearly outline the following areas:

- a. Executive Summary (approximately 3 pages)
- b. Context
- c. Goals and Objectives
- d. Strategies

e. Outcomes and Performance Measures

Specific guidance and resources on each of the above areas may be found at <http://stateplanning.nasua.org>

III. State Plan Submission and Approval

State Agencies on Aging may elect to develop a State Plan for a two, three or four year period. States with a two or three year plan may request an extension or may amend plans annually if needed; however, at the end of a four-year plan, the State will develop a new Plan. There is no statutory authority to extend a Plan beyond a four-year period.

New State Plans and plan amendments should be submitted by July 1, 2008 in order to receive approval in a timely manner. States that do not operate on the Federal fiscal year must submit State plans or plan amendments at least 60 days prior to plan or amendment implementation. States should work informally with their AoA Regional Office staff on State Plan/amendment development prior to the submittal deadline.

Beginning with FY 2009, State Plans will be submitted via a web-based electronic upload process. The web address, www.aoa.gov/stateplanssubmit, includes instructions for submittal and a link to upload state plans, as well as plan amendments. The Regional Office will continue to conduct the initial review and will then forward plans/amendments to headquarters for approval of the Assistant Secretary for Aging.

IV. Intrastate Funding Formula Submission and Approval

Each new State plan submittal must include a copy of the current intrastate funding formula (IFF) and the resulting funding allocation to the planning and service areas. Any revisions to the IFF must be clearly indicated and take into consideration the statutory requirements listed in Attachment B, Intrastate Funding Formula Requirements. States are encouraged to work with their AoA Regional Office liaison prior to submitting revisions to the IFF in a new State plan submittal or plan amendment. Any change to IFF factors or weights requires approval by the Assistant Secretary. Revisions that do not coincide with a new State plan submittal must be submitted as a State plan amendment.

V. Attachments

Attachment A – Intrastate Funding Formula (IFF) Requirements, is a guide to the development of new or revised IFFs. The attachment does not need to be included in the State plan or amendment submittal.

Attachment B – FY 2009 State and Area Plan Guidance Chart, is a guide to addressing Older Americans Act (OAA) State and area plan requirements in State and area plans, in assurance listings maintained at the State, and in State policy and procedures and/or area plan formats. This chart includes all of the assurances and required activities included in the FY 2008 attachments A and B. The chart does not need to be included in the State plan submittal.

Attachment C – Older Americans Act (OAA) Requirements Related to State and Area Plans, is a full listing of all sections/subsections of the OAA related to State and area plans. It includes all of Sections 306 - Area Plans, 307 – State Plans, 316 – Waivers, and 705 – Additional State Plan Requirements, as well as, excerpts from Sections 305 - Organization and 308 - Planning, Coordination, Evaluation, and Administration of State Plans. ***Please note Section 316, Waivers, is included for your information and does not include any required activities.*** This attachment does not need to be included in the State plan submittal.

EFFECTIVE

DATE: Immediately

INQUIRIES: Address inquiries to Regional Administrators on Aging,
DHHS Regional Offices.

Josefina G. Carbonell
Assistant Secretary for Aging