

PROGRAM INSTRUCTION

AoA-PI-09-01

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 2010 State Plans and amendments including intrastate funding formula (IFF) requirements. Program Instruction PI-08-01, dated 04-21-08, is superseded by this PI.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
 - a. AoA Strategic Goals
 - b. Focus Areas for State Plans
- 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. Intrastate Funding Formula Submission and Approval
- V. Attachments

I. State Plan Purpose and Vision

The State Plan can serve multiple purposes:

- **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 modernize its long-term care system.

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://nasua.org/tasc/index.html>) to assist States in the development of the FY 2010 plans. This web based tool provides the resources necessary to develop a comprehensive, yet concise, State Plan on Aging.

a. AoA Strategic Goals

The strategic goals in AoA's vision for long-term care modernization are listed below. States are asked to include in the State plans activities that relate to the four goals:

Goal 1

Empower older people, their families, and other consumers to make informed decisions about, and to be able to easily access, existing health and long-term care options

Goal 2

Enable seniors to remain in their own homes with high quality of life for as long as possible through the provision of home and community-based services, including supports for family caregivers

Goal 3

Empower older people to stay active and healthy through Older Americans Act services and the new prevention benefits under Medicare

Goal 4

Ensure the rights of older people and prevent their abuse, neglect and exploitation

b. Focus Areas for 2010 State Plans

As part of the focus on long-term care modernization, States are asked to include in the State plans, their activities in the following program areas (See TASC Planning Zone page http://www.nasua.org/tasc/the_plan/goals_obj.html and scroll down to specific focus areas and/or click onto individual links listed below):

1. Title VI/III Coordination

The OAA emphasizes coordination of Title VI and Title III services that are provided within the Title VI service area. Coordination is key to avoiding duplication of services and maximizing available resources. For specific statutory provisions and resources for Title VI and Title III coordination activities see TASC Planning Zone page http://www.nasua.org/tasc/the_plan/documents/CoordinationTitleVIinserts1211083.pdf.

2. Title VII Vulnerable Elder Rights Protection Activities

Elder rights programs are necessary to provide important protections against threats to the independence, well being, and financial security of seniors. Title VII elder rights activities include the ombudsman program, prevention of elder abuse, neglect and exploitation, and the legal assistance development program. For specific statutory provisions and resources for elder rights activities see TASC Planning Zone page http://www.nasua.org/tasc/resource_links/elder_rights_programs.html.

3. Disaster Preparedness

Planning for and implementing disaster preparedness activities has become critical in all areas of the country and is emphasized in State and area plans. For specific statutory provisions and resources for disaster preparedness activities see TASC Planning Zone page http://www.nasua.org/tasc/the_plan/documents/MicrosoftWord-GuidanceforStatePlansDisasterPreparedness.pdf and http://www.nasua.org/tasc/resource_links/emergency_preparedness.html.

4. Faith Based Initiatives

Faith-based and community organizations offer unique strengths that Federal, state, and local governments cannot duplicate. These organizations are well positioned to assist older individuals and their families meet many home and community-based needs. For specific regulatory provisions and resources for faith-based initiatives and activities see TASC Planning Zone page http://www.nasua.org/tasc/the_plan/documents/TASCfaithbasedinvolvement.pdf.

5. Health Care System Coordination

States are asked to include in their State plans a description of their strategies to coordinate with the health care system throughout the state on behalf of consumers. Coordination is key in avoiding duplication of services and maximizing available resources for everyone. For specific resources related to health care system coordination activities see TASC Planning Zone page http://www.nasua.org/tasc/the_plan/documents/StatePlanGuidanceonHealthCoordination012709_000.pdf.

II. State Plan Content

The narrative of the well constructed, concise State plan should comprise approximately 20 - 30 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

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, 2009**. States that do not operate on the Federal fiscal year must submit State plans or plan amendments at least 90 days prior to plan or amendment implementation. States should work with their AoA Regional Office on State Plan development prior to the submittal deadline.

Please note a State plan amendment is required when a State proposes any of the following:

- Changes to the intrastate funding formula (IFF);
- Changes to planning and service areas (PSAs) and/or the designation of area agencies on aging (AAAs); or
- Major changes in objectives such as initiating or deleting an objective related to funding a particular service/initiative, e.g., starting/stopping a transportation program, starting/stopping an ADRC or similar long term care reform project.

State Plans are submitted electronically via email to the appropriate Regional Office of the Administration on Aging *with original approving official signature, (e.g., on Verification of Intent page) scanned into or attached to the plan document.* 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. 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 2010 State and Area Plan Guidance Chart is a guide to addressing Older Americans Act (OAA) State and area plan “assurances” and “required activities” in a variety of ways that assure flexible implementation according to the needs of each State. A state may choose to include the assurances and required activities within State

and area plans in assurance listings maintained at the State, in State policy and procedures, and/or in area plan formats. The chart does not need to be included in the State plan submittal, however; documentation of how the State will address each assurance must be available for review by AoA staff, as appropriate.

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 specifically to State and area plans. ***Please note Section 316, Waivers, is included for your information and does not include any required activities.*** This attachment should not be included in the State plan submittal.

EFFECTIVE
DATE:

Immediately

INQUIRIES:

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

Edwin L. Walker
Acting Assistant Secretary for Aging