

Program Instructions

AoA-PI-00-05- August 18, 2000

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

SUBJECT: Procedures for Issuing Title III Formula Grant Amendments for Transfer of Funds

LEGAL AND RELATED REFERENCES: Older Americans Act, as Amended - Sections 308(b)(4)(A), 308(b)(4)(B), 308(b)(5)(A), 308(b)(5)(B)(i) and (ii), 308(b)(5)(C)

The purpose of this program instruction is to reiterate procedures for transferring of funds within the Title III allotments and for effecting these transfers by the Administration on Aging's (AoA) grant award amendments.

The Older Americans Act (OAA) provides authority for states to make transfers of funds among allotments for Supportive Services and Senior Centers (III-B), Congregate Meals (III-C1), and Home-Delivered Meals (III-C2). There is, however, no authority for states to transfer funds in or out of the allotments for Disease Prevention, Ombudsman Program or the Elder Abuse Program.

States can make transfers, whenever necessary, throughout the fiscal year among the III-B, III-C1 and III-C2 allotments. No prior authorization is required from the AoA as long as the transfers remain within the parameters defined in the OAA. In order to keep the workload of transfers at a minimum, a policy was established for states to notify AoA only once in a year for:

- (1) transfers of up to 30 percent between III-C1 and III-C2, as provided in Section 308(b)(4)(A); and
- (2) transfers of up to 20 percent between III-B, and III-C, as provided in Section 308(b)(5)(A).

Whenever these transfers are made internally during the fiscal year, they should be reflected on the supplemental sheet to the Financial Status Report(SF-269), detailing how the funds in line 10.o are allocated. The cumulative transfer of funds among allotments, however, will not be reflected on a revised grant award until after the reallocation (if there is one).

"Note:" funds taken from any parts of Title III for use as State Plan Administration do not constitute a transfer in the context of this Program Instruction, and therefore should not be reported as a transfer.

When submitting your transfer information, please follow the following procedures:

transfers are made only from the allotment in the column headed "Cumulative Grant Award to Date" on the last grant award for FY 2000 for Title III.

show only the total transfer effected during the fiscal year, in III-B, III-C1 and/or III-C2 (not the series of individual transfers that might have been made during the fiscal year),

show the final allotment in each Title affected as shown in your records, so that the transfer grant award can be verified in the Regional Office to insure it agrees with your figures.

Transfers within III-C which exceed 30 percent of the state's separate allotment and/or transfers between III-B and III-C, which exceeds 20 percent of the state separate allotment require AoA's prior approval. Final transfers should be reflected on the SF-269 supplemental sheet after approval.

Notification of your amount of transfers for this fiscal year, as well as your requests for a waiver must be received on or before September 15, 2000. This will allow AoA to process these transfer grant awards timely so that the states may draw down the funds from the appropriate allotment.

State agencies will be notified by letter of the Assistant Secretary for Agings approval or disapproval to transfer funds which require a waiver as specified in Sec. 308(b)(4)(B) and 308(b)(5)(B). All requests for a waiver must be in compliance with Sec. 308(b)(5)(C) of the Act.

Requests for transfers which fall within Sections 308(b)(4)(B) and 308(b)(5)(B) should be submitted to the Regional Office as early as possible, and no later than September 15th, in order to permit timely approval by the Assistant Secretary for Aging.

Any transfers reflected on the SF-269 after the close of the fiscal year must be supported by documentation which indicates that the transfers were approved or made prior to the close of the fiscal year.

DUE DATE: September 15, 2000 for submission to Regional Administrators on Aging, DHHS regional offices.

INQUIRIES: Inquiries should be addressed to Regional Administrators on Aging, DHHS regional offices.

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