

PROGRAM INSTRUCTION

AoA-PI-11-06

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 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 2013 State Plans and amendments including intrastate funding formula (IFF) requirements.

Resources available to assist States in the development and writing of their State Plan include:

- Your Regional Office of the Administration on Aging (AoA); and
- The TASC Planning Zone – a national aging services planning model at http://www.nasuad.org/tasc/tasc_index.html

I. State Plan Purpose and Focus Areas

The State Plan serves multiple purposes:

- **Documenting** the tangible outcomes planned and 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 activities the state will undertake in modernizing its long-term care system.
- **Building Capacity** for long-term care efforts in the state.

It is the intent of AoA that States incorporate into the State Plan as many of their activities related to aging as possible, regardless of funding source. The plan should serve as a valuable tool for planning/tracking all efforts on behalf of older adults.

The TASC Planning Zone, an aging services planning model developed by the National Association of State United for Aging and Disabilities (NASUAD) and AoA, is available to assist States in developing the FY 2013 plans. This web based tool located at http://www.nasuad.org/tasc/tasc_index.html provides the resources necessary to develop a comprehensive State Plan on Aging. *The state is strongly encouraged to use this resource and to work with their AoA Regional Office in the development of their plans.*

Focus Areas for FY 2013 State Plans

In responding to the focus areas, states are expected to discuss their leadership role in developing comprehensive service systems for older individuals, caregivers, and persons with disabilities served through single point of entry projects. Such efforts should be client centered and allow older individuals and persons with disabilities to live as independently as possible in the residential setting of choice.

We are also interested in learning about how states are taking advantage of opportunities through the Affordable Care Act. Are there new activities taking place as a result of this funding? Have new partnerships materialized? Include information about any existing or new plans in this area.

State plans must include measurable objectives that address all of the focus areas below. In developing objectives consider the role these areas serve in optimizing the state's home and community-based service system (HCBS). Questions to consider include but are not limited to:

What are the state's goals, initiatives and priorities for HCBS?

What is the state's current capacity (e.g., workforce, fiscal outlook, etc) to meet those goals?

What challenges will the state face and how are these being addressed through the measurable objectives?

Data and other resources for developing measurable objectives/performance measures are available on the "Resource Links" section of the TASC Planning Zone

A. Older Americans Act (OAA) Core Programs - OAA core programs are encompassed in Titles III (Supportive Services, Nutrition, Disease Prevention/Health Promotion and Caregiver Programs), VI (Native American Programs), and VII (Elder Rights Programs), and serve as the foundation of the national aging services network. Describe plans to coordinate with the Title VI Native American programs, and strengthen or expand the Title III & VII services, as well as how they will be integrated with AoA discretionary programs addressed in Focus Area B below.

Specific resources to assist states in maximizing coordination and planning efforts in Core programs are available on the "Resource Links" section TASC Planning Zone:

B. AoA Discretionary Grants – For each of the following AoA Discretionary Grant programs received by your state, develop measurable objectives that include integration of these programs with OAA core programs above (Focus Area A): Alzheimer's Disease Supportive Services Program (ADSSP); Evidence-Based Disease and Disability Prevention Programs; and programs that support community living.

Note: For ADRC Discretionary grants, list your 1) Projected Objectives, 2) Partners, and 3) Budget leading to the statewide expansion of ADRCs and full integration with OAA core programs.

Specific resources to assist states in developing objectives for respective AoA discretionary grants are available at links below as well as on the "Resource Links" section of the TASC Planning Zone.

Community Living (ADRCs, Community Living Program, Alzheimer’s Disease Supportive Services Program)

<http://www.adrc-tae.org/tiki-index.php?page=HomePage>

Evidence Based Disease Prevention Programs

<http://www.healthyagingprograms.org/content.asp?sectionid=32>

C. Consumer Control and Choice – Making fundamental changes in state policies and programs which support consumer control and choice is recognized as critical focus for State Plans. OAA Title VII programs and services are designed to support this effort, and opportunities also exist for maximizing consumer control and choice in Title III and VI programs. Describe your planned efforts (measurable objectives) to support consumer control and choice across the spectrum of long term care services, including home, community and institutional settings.

Specific resources to assist states with building consumer choice and control into aging programs are available at the link below as well as on the “Resource Links” section of the TASC Planning Zone.

National Resource Center for Participant Directed Services –

<http://www.bc.edu/schools/gssw/nrcpds/>

II. State Plan Content

The State plan is made up of:

1. Signed Verification of Intent Page from State Governor or designee;
2. Narrative;
3. Intrastate Funding Formula; and
4. Attachments.

Signed Verification of Intent Page from State Governor or designee;

It is important that the state plan be signed by Governor or the individual (designee) to whom the Governor has granted signature authority. Such authority should be obtained in writing from the Governor’s office and be on file should AoA need to verify the designation.

Narrative:

It is recommended that the narrative of State Plan be comprised of 20 - 30 pages and clearly address the following areas:

- a. Executive Summary (approximately 3 pages) - The executive summary should stand alone in summarizing the state’s planned efforts on behalf of older individuals. A well written summary can aid the state in educating the public, lawmakers, and other agencies, and can assist in securing additional resources.

- b. Context – The context sets the stage for the State Plan and describes the issues to be addressed in the rest of the document
- c. Goals and Objectives – Goals are visionary statements that describe the strategic direction in which the state is moving while objectives are the attainable, specific, and measurable steps the State will take to achieve its goals. *Goals should align with the AoA Strategic goals listed at http://www.nasua.org/tasc/goals_and_objectivs.html. One or more objectives should be included for each of the 3 focus areas on Page 2 of this PI.*
- d. Strategies – Strategies outline *how* the goals and objectives will be achieved.
- e. Outcomes and Performance Measures related to Focus Areas – Outcomes document the benefit older individuals should derive from the state plan goals, objectives and strategies.

Specific resources are available for each of the above sections on “The Plan” drop down menu of the TASC Planning Zone at http://www.nasua.org/tasc/the_plan/index.html.

Intrastate Funding Formula:

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. Attachment B to this PI, Intrastate Funding Formula (IFF) Requirements, is a guide to the development of new or revised IFFs and is provided for information purposes.

Attachments (to the State Plan document):

The number and type of state plan attachments will vary from state to state but **every state plan must include Attachment A from this PI, State Plan Assurances, Provisions and Information Requirements.** Other attachments to the plan could include demographic data, needs analysis, special initiatives, etc. The intrastate funding formula may be included as an attachment or in another clearly marked section of the plan.

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.*

The deadline for State Plans and plan amendments is **July 1, 2012** to the appropriate Regional Office. 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. For efficiency and coordination purposes states need to work with their AoA Regional Office on State Plan development prior to the submittal deadline. The AoA Regional Office will be in frequent

contact with SUA staff providing technical assistance writing the plans well in advance of submission so that appropriate technical assistance can be incorporated prior to state approving official sign-off.

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

- Changes to the intrastate funding formula;
- 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 review State Plans and send recommendations to the Assistant Secretary who has authority to approve State Plans and State Plan Amendments.

IV. ATTACHMENTS: (to this Program Instruction)

Attachment A – State Plan Assurances, Required Activities and Information Requirements includes all statutory requirements related to the development of State plans and must be reviewed, signed and included in the State plan/amendment submittal. In addition, documentation of how the State will address each assurance, required activity and information requirement must be maintained at the State and made available for review by AoA, as appropriate.

Attachment B – Intrastate Funding Formula (IFF) Requirements is a guide to the development of new or revised IFFs and is provided for informational purposes. This attachment *does not need* to be included in the State plan/amendment submittal.

EFFECTIVE DATE: Immediately

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

Kathy Greenlee
Assistant Secretary for Aging