

Program Instructions

AoA-PI-03-03

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 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 primary purpose of this Program Instruction (PI) is to provide States with the guidelines they must use in developing and submitting State plans and amendments including assurances, provisions, information requirements, and intrastate funding formulas (IFFs) requirements. Program Instruction PI-02-02, dated 05-02-02, is superseded by this PI and is no longer effective in full or in part. These guidelines are effective immediately and will remain so until replaced. In addition, guidelines are included for development of objectives related to the National Family Caregiver Support Program (NFCSP).

State Plan Submission and Approval

States that have plans for two or three years and are approaching the expiration of their original approval must either: (1) submit amended plans for two years or one year, respectively; or (2) submit new plans. States with four-year plans that are expiring must submit new plans because there is no statutory authority to extend beyond a four-year period. State plans should be submitted to the appropriate Regional Office of the Administration on Aging (AoA) for initial review and comment. Final approval or disapproval is determined by the Assistant Secretary.

Plan Requirements

Included in this guidance are:

- (1) the State plan assurances currently required by Sections 305, 306, 307, 308, and 705 of the Older Americans Act (OAA), as amended in 2000;
- (2) the State plan provisions required in Sections 307 of the OAA; and
- (3) the State plan information requirements outlined in Sections 102 and 307 of the OAA.

An electronic version of the Plan requirements may be downloaded from the AoA website. When using the electronic version, delete the note lines and fill in text as needed.

Deadline for State plan Submission

State plan and plan amendments must be received 60 days before their effective dates in order to receive approval in a timely manner.

Criteria for Intrastate Funding Formula (IFF) Approval

In reviewing a States IFF, only the amended Act will be used as criteria for approval or disapproval. Each State will be expected to demonstrate that the requirements in Sections 305(a)(2)(C) have been met, the criteria set forth in Sections 305(a)(2)(C)(i) and 305(a)(2)(C)(ii) have been taken into account, and the factors and weights in its formula are based upon the best available data. Finally, each state must also submit a copy of its IFF to the respective AoA Regional Office including, as required by Sections 305(d) of the OAA, a descriptive statement, a numerical statement, and a list of the data used (by planning and service area). If you are submitting a new IFF for approval it must be sent to the appropriate Regional Office for review by June 3, 2003, along with all supporting documentation.

NFCSP Plan Objectives

States are instructed to develop and include in their new State plans (or in Plan amendments), objectives for implementation of the NFCSP. The objectives shall describe how the State is implementing the five service categories into a multi-faceted program, and how the NFCSP is being integrated into the existing OAA systems of services for older individuals. Specifically, States shall include objectives in their plans/amendments that:

- 1) Describe how the NFCSP will be implemented in the State including: (A) the categories of services that will be provided/expanded, (B) funding allocated to the service categories; and (C) the projected number of caregivers who will benefit from the services during the plan period; and
- 2) Outline steps for integrating the NFCSP into the States existing comprehensive system of services for older individuals including: (A) how an emphasis on serving caregivers (in addition to care recipients) will be implemented; and (B) how the NFCSP will be integrated into existing caregiver programs.

EFFECTIVE

DATE: Immediately

ATTACHMENTS: Listing of State plan Assurances,
State plan Provisions and Information Requirements

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

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