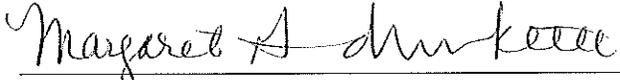


STATE OF CONNECTICUT

STATE DEPARTMENT ON AGING STATE UNIT ON AGING (SUA) PROGRAM INSTRUCTION



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November 14, 2012

Effective Date

PROGRAM INSTRUCTION: SUA-SPI-12-01

1. **SUBJECT:** Instruction for the Completion and Submission of Area Agency on Aging Four-Year Area Plan for the Period of October 1, 2013 – September 30, 2017

The primary purpose of this State Program Instruction is to provide the Area Agencies on Aging (AAAs) with guidelines they must use in developing and submitting Area plans and amendments including assurances, provisions and information requirements. The Older Americans Act (OAA) requires that Area Agencies on Aging develop and submit an Area Plan to the State Unit on Aging every two, three or four years. Connecticut's State Unit on Aging (SUA) requires submission of a Plan every four years. Area Plans must describe how the area agency will provide for a comprehensive and coordinated system of services for elders and how it will comply with the other requirements of the OAA.

Administration on Aging (AoA) Strategic Action Plan

The Administration on Aging (AoA) Strategic Action Plan for 2007-2012 is still in force at the time of issuance of this program instruction. It has five strategic priority areas to ensure that AoA continues to play a leadership role in shaping an evolving health and long term care system on behalf of elders. These priority areas should guide the development of the Area Plans. The five priorities:

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;
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;
3. Empower older adults to stay active and healthy through Older Americans Act services and the new preventive benefits under Medicare;
4. Ensure the rights of older people and prevent elder abuse, neglect and exploitation; and,
5. Maintain effective and responsive management.

AoA Choices for Independence

The Older Americans Act Amendments of 2006 include provisions that reflect the core principles of AoA's Choices for Independence initiative. These principles should guide the development of the Area Plans. 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 community-based systems of services, and enabling older people to make behavioral changes that will reduce their risk of disease, disability, and injury.

PLAN REQUIREMENTS:

Plan Period and Due Date

The Plan shall cover the four-year period from October 1, 2013 through September 30, 2017. The proposed Plan must be received by the State Unit on Aging no later than July 1, 2013.

STATE UNIT ON AGING REQUIREMENT

Title IIIB funds shall be allocated as follows:

- A minimum of 25% of funds shall be allocated for in-home services.
- A minimum of 16% of funds shall be allocated for access services.
- A minimum of 6% of funds shall be allocated for legal services.
- A minimum of 5% of funds shall be allocated for senior centers.
- A minimum of 5% of funds shall be allocated for behavioral health services.
- A maximum of 10% of funds may be allocated for MIS (program evaluation) purposes.

Title III B funds or Title III D funds

- A portion of Title III B funds and/or Title III D funds shall be allocated for dental services.
- Title III D funds allocated for dental services may not exceed 25%.
- Dental Services shall meet the minimal evidence-based program criteria set by the Administration on Aging.

Title III D funds

- 100% of funds shall be allocated for evidence-based prevention and health promotion programs.
- A minimum of two different evidence-based programs shall be funded.
- Any one program shall not be funded with more than 60% of the Title III D funds

Area Plan Content

The State Unit on Aging is not requiring the Area Agency on Aging to submit specific plan objectives for program areas or a specific number of goals. However, Area Agencies on Aging are required to include a minimum of one strategy for each state- and federally- funded program, for which the Area

Agency receives funding from the State Unit on Aging. The Area Agency on Aging is encouraged to submit its goals based on the needs in its Planning and Service Area.

Cost Sharing Provisions

The amended OAA gives states the option to implement cost sharing for services such as respite and homemaker services. There are services that are prohibited from cost sharing such as information and assistance, outreach, case management and congregate and home delivered meals. The State Unit on Aging currently has cost sharing procedures for the Older Americans Act funded Title III-E, National Family Caregiver Support Program in Program Instruction SUA-SPI-11-01. Additionally, Area Agencies on Aging have a Title III E Cost Sharing plan on file with the State Unit on Aging and are implementing cost sharing in accordance with Program Instruction SUA-SPI-11-01. A copy of the approved cost sharing plan shall also be submitted by Area Agencies on Aging as part of the Area Plan. Further opportunities for cost sharing through Older Americans Act programs are possible and may occur during the FFY 2014 – FFY 2017 Area Plan period. Any Area Agency on Aging interested in developing a cost sharing policy through an additional Title III program should include this additional program in the cost sharing plan with its Area Plan submission. This additional plan must be approved prior to its implementation.

Emergency Preparedness Plan

Area Agencies on Aging are required to submit an Emergency Preparedness Plan with the Area Plan. Area Plans will not be considered complete without the inclusion of an Emergency Preparedness Plan that addresses the topic areas outlined in the Exhibit I-9 guidelines.

Request for Waivers

Due to the changing fiscal climate, the SUA is changing the process for submitting waivers. A Program Instruction from the State Unit on Aging outlining the revised Waiver process will be released to Area Agencies on Aging by April 1, 2013. In the meantime, there are a few key points to be aware of for planning purposes:

- All waiver requests must be submitted with the proposed Area Plan.
- Title IIIB I&A waivers* and Title III E waivers will be approved for the duration of the approved Area Plan;
- All other waiver requests must be submitted annually for approval to the State Unit on Aging;
- Approved waivers will no longer receive automatic 5% waiver increases during the Area Plan period;
- New waivers and waiver revision requests (such as a request for change in approved funding or change in project narrative) shall be submitted to the SUA by August 1st each year of the Plan period, to be effective the following federal fiscal year beginning October 1st; and
- Requests for the revision of certain waivers may be submitted by the Area Agency on Aging during the federal fiscal year as part of the annual federal budget package submission.

*Waiver requests for MIS (program evaluation) purposes are no longer necessary. In accordance with Section 303 (c) of the Older Americans Act, Title IIIB may be used for the evaluation of activities carried out under Area Plans.

Area Agency on Aging Due Date Chart

The Due Date Chart reflects due dates for NAPIS reporting, program and financial reports for Title III, CHOICES and other State Unit on Aging funded programs.

LEGAL AND RELATED REFERENCES:

Older Americans Act of 1965, as Amended

Code of Federal Regulations; 45 CFR 1321

U.S. Administration on Aging Strategic Action Plan 2007 – 2012, dated April 2007

Administration on Aging Choices for Independence Fact Sheet, April 28, 2009

Please review the format and instructions. If there are additional questions, please call or email your questions to your agency's assigned Field Representative.