NEW YORK STATE OFFICE FOR THE AGING

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PROGRAM INSTRUCTION	**Number: 14-PI-02**
	Supersedes: 13-PI-07
	Expiration Date:

DATE: February 4, 2014

TO: Area Agency on Aging Directors

SUBJECT: Revised Client / CAARS Forms and Instructions

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ACTION REQUESTED: CAARS/Client Data Reporting for the period April 1, 2014 through March 31, 2015

RESPONSE DUE DATE: Based on the quarterly reporting schedule with the following due dates for submission: July 21, 2014, October 20, 2014, January 20, 2015 and April 20, 2015

PURPOSE: To transmit revisions to the COMPASS, client file specifications for data submission and CAARS web pages.

BACKGROUND: The attached files include revisions to NYSOFA's reporting requirements for the program year April 1, 2014 through March 31, 2015. These revisions have been developed to respond to questions, suggestions and requests raised both internally at NYSOFA and by the AAAs.

These revisions have been sent to the software vendors and a number of AAAs for review and comment prior to implementation.

Many of these revisions/additions will require steps to be taken by both the vendor and the Area Agency.

Key Changes

Data Quality Review

The allowable percent for missing data used for review and evaluation has been changed from 15% to 10%. Levels exceeding 10% will require correction and/or explanation as to reasons why this level has been exceeded. This change is being made to ensure NYSOFA's data meets the review requirements set by Administration on Community Living (ACL). Further details regarding this can be found on page 13 of the Reporting Guide Consolidated Area Agency Reporting System (CAARS) and Client Data Systems, Section II, General Requirements/Information for Client Specific Data C. Quarterly Data Quality Review.

CAARS Report

Page 3, Part III - Program Services Expenditure Breakdown – Federal/State Programs, line 2 Consumer Directed In-home Services open cells for expenditures under Title III-B and Title III-E.

COMPASS

Section I. Client Information

P. Living Arrangement (modified the language to add clarity).

S. Is the client a. frail, b. disabled. (Definitions for these can be found in the Reporting Guide CAARS and Client Data).

Section VII. IADLs and Section VIII. ADLs

Added: "Is need met at the time of assessment" to be consistent with vendor provided assessment forms.

Section X. Informal Supports

Last April a question was added to the Primary and Secondary Informal Support sections - Is the informal support being provided by a caregiver using the (Title III-E definition)? The response to the question was very good. After discussions with several AAAs we have added two additional questions. The first provides four services and asks if any of these will provide respite to the caregiver. This question is not required but will provide valuable information on assistance being provided to caregivers who may not be funded by the Title III-E program.

The second question asks if the person providing informal support would like information on the caregiver program. A number of AAAs asked that this be added because it may be used to generate reports on who needs follow up on the caregiver program.

Example:

Questions added for Primary and Secondary Informal Support:

1. f. Which of these services could be provided as respite for the caregiver?
   Adult Day Services
   Personal Care Level 1
   Personal Care Level 2
   In Home Contact & Support (Paid Supervision)

   g. Would the caregiver like to receive information about other caregiver services?

   Question added for a Second Informal Support.

2. f. Which of these services could be provided as respite for the caregiver?
   Adult Day Services
   Personal Care Level 1
   Personal Care Level 2
   In Home Contact & Support (Paid Supervision)

   g. Would the caregiver like to receive information about other caregiver services?

XI . Monthly Income

The original COMPASS only included income information for the person being assessed. This has become somewhat problematic as systems become more automated. The EISEP Financial Agreement Form includes the couple and spouse in addition to the person being assessed which became a problem in relating the two documents. The monthly income table has been modified to mirror the EISEP financial form. The other area of confusion dealt with poverty. Whereas EISEP cost share calculation looks at the person being assessed and their spouse, the HHS Poverty Guidelines use household income.

Revised: Monthly Income table to follow a format similar to the Financial Agreement Form and to incorporate the information necessary to determine poverty status.

A.		Monthly Income			
		A. Individual Being Assessed	**B.** Person's Spouse	**C.** Other Family/ Household Income	D. Total Family/ Household Income
1.	Social Security (net)				
2.	Supplemental Security Income: (SSI)				
3.	Personal Retirement Income				
4.	Interest				

5.	Dividends				
6.	Salary/Wages				
7.	Other				
	Total:				

Added two questions to be consistent with vendor provided assessment forms:

B. Number of people in household?

C. Is client a veteran?

Client Data Files

Several fields have been added to the file specifications which your vendor will be implementing and will appear in the software.

The first is the addition of a date field for the six-month contact for noncase managed home delivered meal clients. Clients only receiving a home delivered meal must be contacted six months from the date of the assessment/reassessment. This field will be used to record the date of that contact. Attachment M lists the nine areas to be explored to determine if any changes have occurred since the last assessment /reassessment.

This requirement was implemented by **97-PI-20**, Program and Policy Changes Related to Implementation of MDS: (A) Home Delivered Meals; (B) EISEP and CSE EISEP-Like Services; and (C) All Six Community-Based Long Term Care Services dated July 10, 1997.

Two other client type tags have been added for persons receiving eligible meals. The first covers those clients receiving HDM for 10 consecutive days or less. The added tag would allow enough information to be added into the system to create a unique client ID but ensure that the additional assessment data requirements are not applied during NYSOFA review. We believe this will eliminate many false error messages.

The second applies to Title III-E Caregivers Age 60 or older receiving HDM who have not been assessed. We have been told of many instances where the caregiver is age 60 and older and refuses to be assessed. Certainly that person should be assessed but if they refuse, it is still in the best interest of the care receiver that those people receive a meal.

Standard Definitions of Service

Although there are no major changes to the definitions and no new services that have been added, there are two changes which need to be pointed out.

The definition for Information and Assistance (I&A) has been revised to make better use of the original services which make up I & A. I & A is made up of three components; the provision of information, providing assistance to individuals and the referral follow up. The provision of I & A may include one or all of these components. The important change affects what constitutes a unit of service. More and more we've been hearing from the AAAs that usually a contact did not adequately reflect what was being provided and that more often than not calls could easily take a half hour or more. To reflect this, the unit definition is being changed to one hour. Quick contacts, where for example a question is asked and answered, can be reported as 0.25. Note units of service which are one hour can be reported in increments of 0.25.

A notation has been added to the definition for Counseling, Support Groups & Training to separate out those events which are better reported under information. Counseling, Support Groups & Training is a group 1 service where recipients must be registered and certain demographic information collected and reported. We have found that many AAAs have attempted to report events that do not require preregistration and are open to the general public under this service, resulting in a large numbers of errors because of the missing data. To correct this, the following notation has been added; "Note training events that do not require preregistration and are open to the public should be reported as Information." We believe this will allow for more accurate reporting and eliminate many errors.

Also included are two updated brochures that were created several years ago that can be helpful in explaining why information is collected, how it is used and how it is protected. The brochures are <u>Caring Respect Trust</u> and <u>Dining Together</u>.

<u>Attachments Included:</u>

Reporting Guide CAARS and Client Data 2014
CAARS 2014 Quarterly Report Forms
Minimum Data Set (MDS)
Att. A: Client Data Specifications 2014 Provides description of the allowable file layout.
Att. B: Client File Codes 2014 Provides codes to be used in data reporting.
Att. C: Fields Required by Cluster 2014
Att. D: COMPASS Instructions 2014
Att. E: COMPASS Form 2014
Att. K: CAARS Client Reports 2014
Att. L: Examples of Case Managed and Non Case Managed Clients
Att. M: Areas To Be Covered During the Six-Month Contact for Non-Case Managed Home Delivered Meals Clients
Att. N: Quarterly Data Quality Review Provides methodology for client data review with examples.
Sample III-E Registration Form
Sample Congregate Services Intake Form
<u>Caring Respect Trust</u> and <u>Dining Together</u> – Brochures for use at congregate sites on the collection and use of data.
Standard Definitions for Service 2014

PROGRAMS AFFECTED: ☒ Title III-B ☒ Title III-C-1 ☒ Title III-C-2

☒ Title III-D ☒ Title III-E ☒ CSE ☒ SNAP ☐ Energy

☒ EISEP ☒ NSIP ☐ Title V ☐ HIICAP ☐ LTCOP

☐ Other:

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