Notice of Instruction

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Notice of Instruction Number: 123010-OAA IIIE Assessment and Reporting

TO: ALL OAA Providers

FROM: Katie Parkinson

DATE: December 30, 2010

SUBJECT: New OAA Title IIIE Assessment Type and CIRTS Reporting Requirements

The purpose of this Notice of Instruction is to inform you of the new Older Americans Act National Family Caregiver Support (Title IIIE) program assessment type and Client Information and Registration Tracking System (CIRTS) reporting requirements, effective January 1, 2011.

An OAA Title IIIE Workgroup was convened during the year to review current policy, determine necessary program changes and look at creating efficiencies. The following program changes are being made to ensure compliance with current policy, National Aging Program Information System (NAPIS) state program annual reporting requirements and (CIRTS) reporting requirements:

1) A new OA3E assessment type is under development and will contain the minimum required data elements for NAPIS reporting. The assessment will also contain the required information to document eligibility for the frail elder recipient. OAA requires that the elder be frail to receive IIIE respite and supplemental services.

2) The current OA3EG assessment type will remain in effect for the OAA Title IIIE Grandparent program. The Department of Elder Affairs will be pursuing a rule change to update the questions regarding children to reflect the new NAPIS reporting requirements. NAPIS collects data that includes the number of children 18 or younger and the number of children with disabilities. Currently, the OA3EG assessment collects the name and date of birth of a child but not the number of children.

Attached is the document that describes the OAA Title IIIE program and CIRTS user requirements effective January 1, 2011. Should you have questions, please contact your Program Manager. We greatly appreciate your attention to this matter.

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Older Americans Act

Title IIIE National Family Caregiver Support Program

Client Information and Registration Tracking System (CIRTS) User Requirements

Effective January 1, 2011

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A Title IIIE Workgroup was convened to address the need to change the OAA Title IIIE assessment and Client Information and Registration Tracking System (CIRTS) reporting requirements to include required data elements for the National Aging Program Information System (NAPIS) state program Older Americans Act annual report and to establish eligibility criteria for certain services. As a result of this workgroup, Title IIIE policy, assessment type and CIRTS requirements are being updated.

The policy change to collect the new OAA IIIE (OA3E) assessment data is effective January 1, 2011. *CIRTS programming of the changes is underway and may not be completed until mid-January 2011*.   The department requests that beginning January 1, 2011, providers manually collect the required data and hold CIRTS data entry until the CIRTS programming and testing is complete.   The Department's Management Information Systems (MIS) staff will alert the Local Area Network (LAN) Administrators when the CIRTS changes are made.

OAA Title IIIE National Family Caregiver Support Program Components

The Older Americans Act National Family Caregiver Support Program (OAA Title IIIE) has three CIRTS program components as follows:

1.   OA3E: Elder recipient (60 or older) with a caregiver

2.   OA3EG: Non-parent relative caregivers (55 or older) and caring for children under the age of 18 and children aged 18 and older with disabilities

3.   OA3ES: Supplemental Services

OAA Title IIIE Assessment, Services and CIRTS Changes

The Older Americans Act Title IIIE National Family Caregiver Support Program assessment, services and CIRTS policy changes effective January 1, 2011 are as follows:

1.   **OA3E**: For OA3E, the client record is the elder recipient (the elder (60+) person who has a caregiver). On the new OA3E assessment, answer " Y" to primary caregiver. The new OA3E assessment type also includes the minimum required fields for **client specific service reporting** and establishes the **OAA frailty*** for the elder recipient to receive

OA3E Respite services (Adult Day Care, Adult Day Health Care, Direct Pay Respite, In-Home Respite or Facility-Based Respite) **and/or** Supplemental Services (OA3ES). All OA3E services must be reported by the elder recipient's Social Security Number (SSN).

2. **OA3EG**: For OA3EG, the client record is the non-parent relative caregiver aged 55 or older. No changes are being made at this time. Future enhancements will be made to the OAEG assessment type and CIRTS to collect the required NAPIS state OAA program report data elements (number of children, including children under the age of 18 and children aged 18 and older with disabilities). The current OA3EG assessment collects the child name and date of birth (DOB. This change to collect the NAPIS data will occur through the department's rule making process. OA3EG services are reported by the caregiver's SSN.

3. **OA3ES**: For OA3ES: No changes are being made to the OA3ES program component. These OA3ES services are available to clients enrolled in OA3E and/or OA3EG. However, OA3E elder recipients (60 and older) must meet the OAA frailty definition requirements to be eligible for OA3ES services. The frailty requirement does not apply to the OA3EG program recipients. A non-parent relative caregiver (age 55 and older) is not required to be frail in order to receive respite or OA3ES services. OA3ES services are reported by either the OA3E elder recipient's SSN or the OA3EG caregiver's SSN depending on the program providing the supplemental services.

*OAA frail definition: An older individual who is unable to perform at least two activities of daily living (ADLs) without substantial human assistance, including verbal reminding, physical cueing or supervision; or due to cognitive or other mental impairment, requires substantial supervision because the individual behaves in a manner that poses a serious health or safety hazard to the individual or to another individual.

CIRTS Changes: New OA3E Assessment effective January 1, 2011:

1. New assessment type called OA3E – 2011 or later is being added. This assessment type is required for services that require **client specific service reporting.** The required CIRTS fields are:

    a. For the *elder recipient (60+ elder)*, the required fields are name, SSN, DOB, gender, address, income, living situation, ethnicity, race, ADLs (left side only) and, the question, "does behavior indicate a need for supervision?"

b. *Primary caregiver* must equal Y. For *elder recipient's caregiver*, the required fields are name, SSN, DOB, gender, address, ethnicity, race, and relationship to elder recipient.

2. OA3E Frailty Eligibility Requirement for Respite and IIIES Supplemental Services: The elder recipient (60 and older) must meet the frailty requirement to be eligible to receive OAA Title IIIE Respite (Adult Day Care, Adult Day Health Care, Direct Pay Respite, In-Home Respite or Facility-Based Respite) **or** OAA Title IIIES supplemental services. The new OA3E assessment documents eligibility with the "Yes" to two (2) or more ADL deficits **and/or** "Yes" to "Does behavior indicate a need for supervision?" The new OA3E frailty assessment data elements are contained in the current 701B and will be required elements of the new OA3E assessment type:

   a. ADL Assessment Question: How much help do you need with the following Activities of Daily Living (ADLs)? The check boxes for the six (6) domains are rated on a scale of 0-4.

      The scale codes are: 0 = no help; 1 = no help but relies on assistive device; 2 = supervision; 3 = some help; 4= total help

      The six (6) domains are: bathe, dress, eat, use bathroom, transfer, walking/mobility.

   b. Requires Supervision Question: Assessor question: Does behavior indicate a need for supervision? Answer "Yes" or "No" and check all that apply: wanders for no apparent reason; demonstrates significant memory problems; appears to be depressed; appears to be lonely or dangerously isolated; has thoughts of suicide; exhibits abusive, aggressive or disruptive behavior or presents other problems.

3. OA3E assessment is an existing assessment type. Do not use this OA3E type for assessment dates January 1, 2011 or later. The system will allow CIRTS data entry to correct SSNs and retype old assessments as needed to correct any assessment data that occurred prior to January 1, 2011. The OA3E type will be renamed OA3E 2010 or earlier.

Client Information and Registration Tracking System (CIRTS) Reports: The following tasks will be completed related to CIRTS reports and data entry:

1. Add the new OA3E assessment type – OA3E 2011 or later

2. Rename the OA3E assessment type – OA3E – 2010 or earlier

3. Change the Assessment Due report to check for the new OA3E 2011 or later assessment type or 701B assessment for clients who only get OA3E services reported by individual. Note: Clients who receive congregate meals and OA3E services only need both a 701C and OA3E 2011 or later. OAC1 and OA3E clients need to be reassessed annually using both instruments.

4. Change the Turnaround reports to reflect the OA3E 2011 or later assessment type.

5. Effective 10/01/2011, a rule will be added to services reported so that OA3E Respite (Adult Day Care, Adult Day Health Care, Direct Pay Respite, In-Home Respite or Facility-Based Respite) and OA3ES services cannot be entered unless the elder recipient's frailty is documented in CIRTS. The criteria is on the client's assessment, **either** the ADLs are greater than or equal to "2" **and/or** the question, "Does behavior indicate a need for supervision?" is answered yes.

Client Scenarios

The following are possible client scenarios and the assessment instrument that would be required:

APCL OA3E = 701A if the provider wants to generate a priority score for the OA3E APCL

ACTV OA3E = OA3E – 2011 or later assessment type

APCL OA3E (and/or any program) + ACTV CCE/HCE/ADI = 701B

APCL OA3E (and/or any program) + ACTV OA3B registered service = 701B (OAA type)

ACTV OA3E + ACTV O3C1 = 701C + OA3E – 2011 or later type

APCL OA3E + ACTV O3C1 = 701A if desired to generate a priority score for OA3E APCL (a 701A contains all of the elements in the required 701C for ACTV 03C1 only clients)

ACTV OA3E + APCL CCE/HCE/ADI = OA3E – 2011 or later + 701A (a 701A does not contain all required elements in the OA3E – 2011 or later type)

ACTV OA3E + ACTV OA3B registered service = 701B (OAA type)

ACTV OA3E + ACTV CCE/HCE/ADI = 701B

ACTV OA3E + APCL OA3B and/or APCL O3C2 = OA3E – 2011 or later + 701A (if the provider wants to generate a priority score for the OAA APCL

ACTV OA3E + ACTV O3C2 = 701B (OAA type)

APCL OA3E + ACTV O3C2 = 701B (OAA type)

ACTV OA3E + ACTV 03C2 + ACTV OA3B = 701B (OAA type)

ACTV OA3EG = OA3EG

ACTV OA3EG + APCL CCE/ADI/HCE/IIIB registered service = 701A with answer "Yes" to "Are you the caregiver of a grandchild?" to complete the OA3EG assessment questions

ACTV OA3EG + ACTV CCE/ADI/HCE = 701B with answer "Yes" to "Are you the caregiver of a grandchild?" to complete the OA3EG assessment questions

ACTV OA3EG + ACTV OA3B registered service = 701B (OAA type) with answer "Yes" to are you the caregiver of a grandchild to complete the OA3EG assessment questions

Attached is the chart for OAA Title IIIE service reporting that identifies the OA3E, OA3EG and OA3ES services that require client specific data to be reported in CIRTS.   No policy or CIRTS changes are being implemented for the non-client specific services identified with a "N" on the attached chart.