

*Universal Assessment in
Four Comparison States:
Lessons Learned and
Relevance for California*



The University of California Los Angeles Borun Center
for Gerontological Research

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Background

- Identification of external standards of assessment
 - Organization of content into Domains -> Topics -> Items
 - Content range and depth
- Development of a framework that defines the stages of assessment



Learning From the Experiences of Others

Purpose of this research:

- Gather information on the design of four selected states' UA processes
- To compare the content of their assessment instrument(s)
- To understand how their assessment instruments are used for
 - Eligibility determination
 - Needs determination
 - Care planning
 - Quality assurance systems



Why Examine Other States?

- Learn from the experiences of others
- Provide a framework for organizing and guiding the selection of assessment items for California
- Stimulate further discussion of the potential scope of assessment processes and the related instrument(s)



Selection of Comparison States

- Worked with the Advisory Committee to identify selection criteria
 - DOA, DHCS, DSS, HHA
- Considered contextual factors specific to California
 - Size and demographics
 - County-based orientation of service delivery
 - Range of programs the UA system will incorporate
- Project team identified potential candidate states by reviewing published literature and other reports and by contacting experts in the field.

Comparison States We Selected

State Selected	Key Characteristics
Michigan	Use of an interRAI-based tool
New York	A large state with a diverse population and a county-oriented LTSS system
Pennsylvania	Developed data-sharing processes
Washington	Use of a locally-developed instrument; example of a gold-standard assessment system



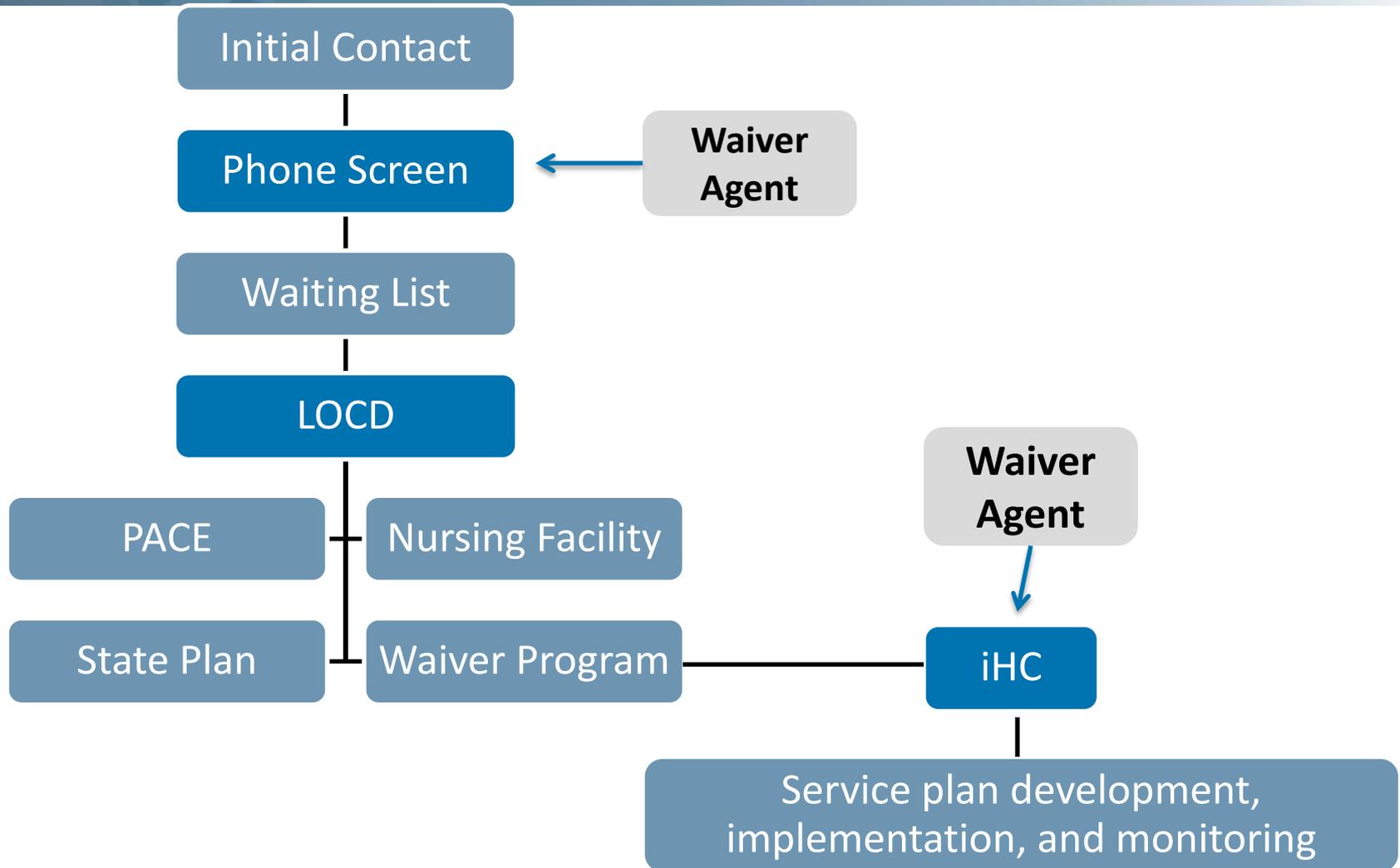
Identification of State Processes and Instruments

- The assessment processes and instruments we studied were identified by key informants as part of the comprehensive assessment system in the state.
- States were contacted to obtain up-to-date versions of their assessment processes and instruments.

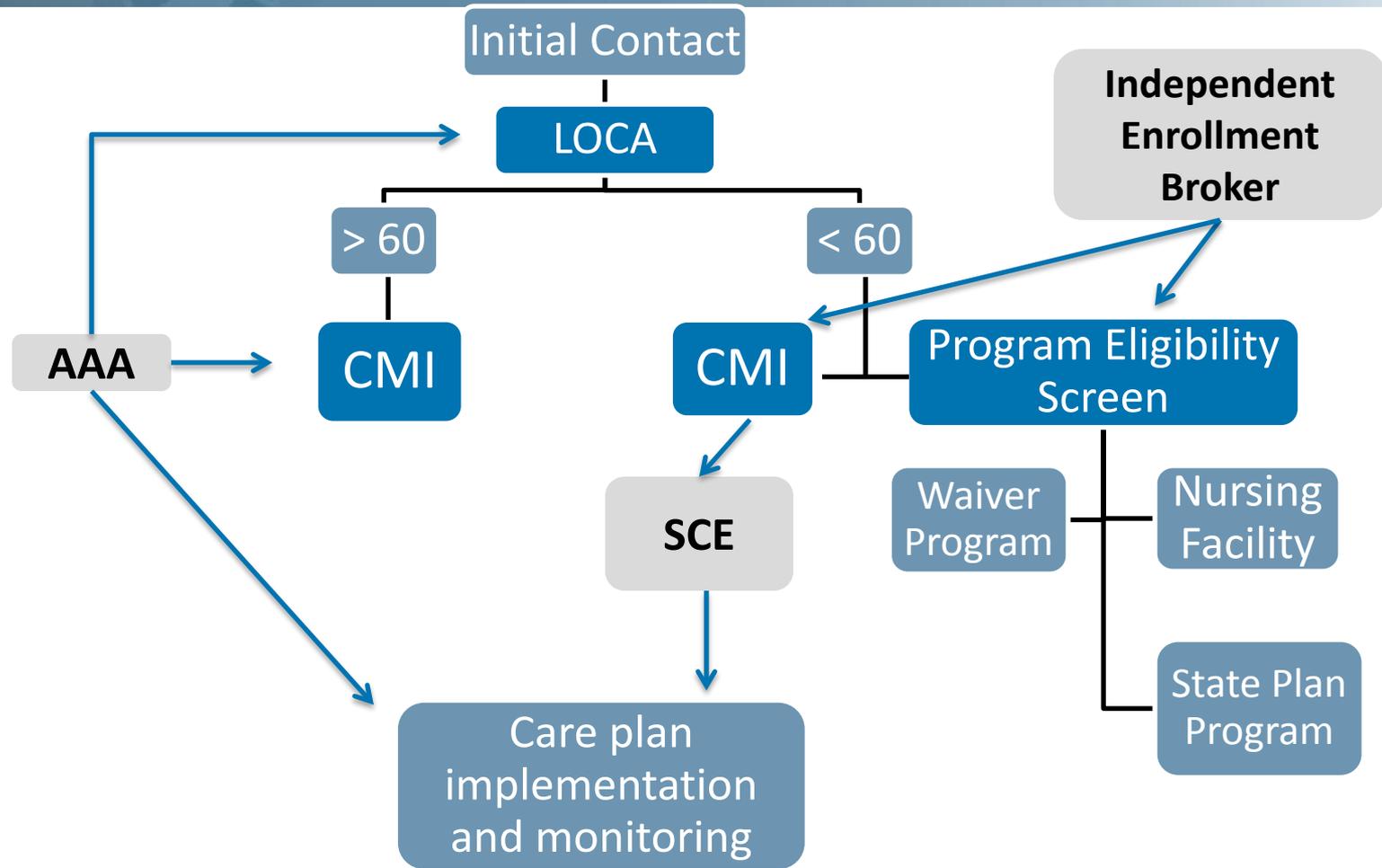


Assessment Processes

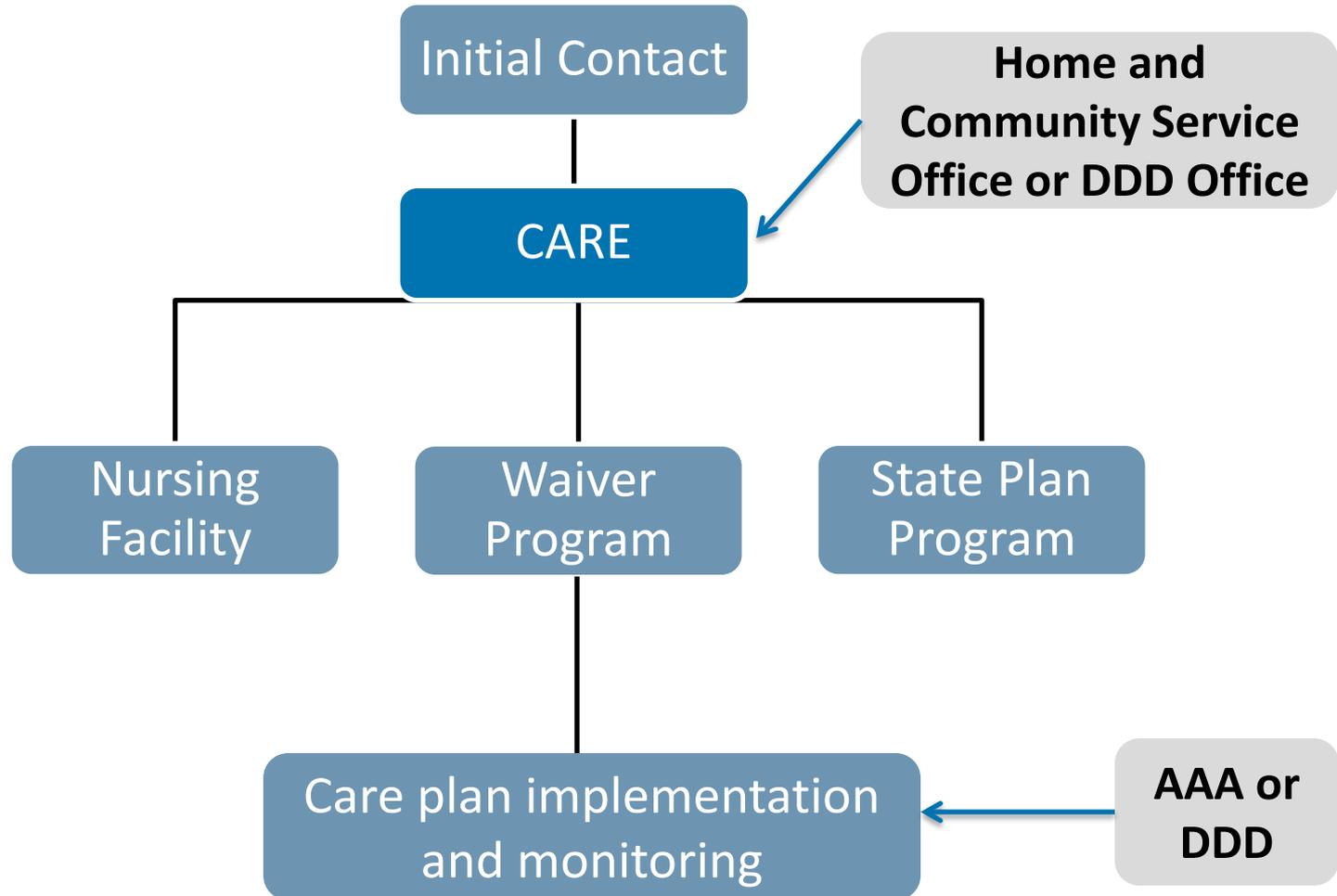
Michigan



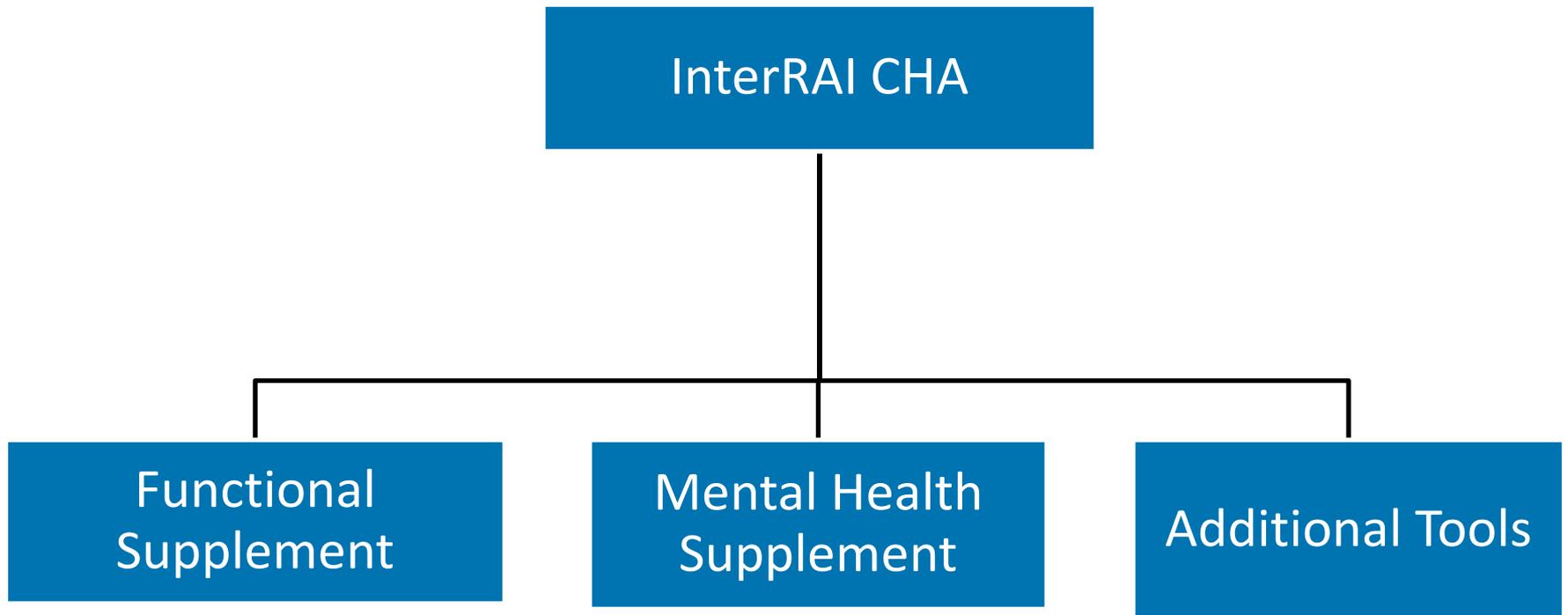
Pennsylvania

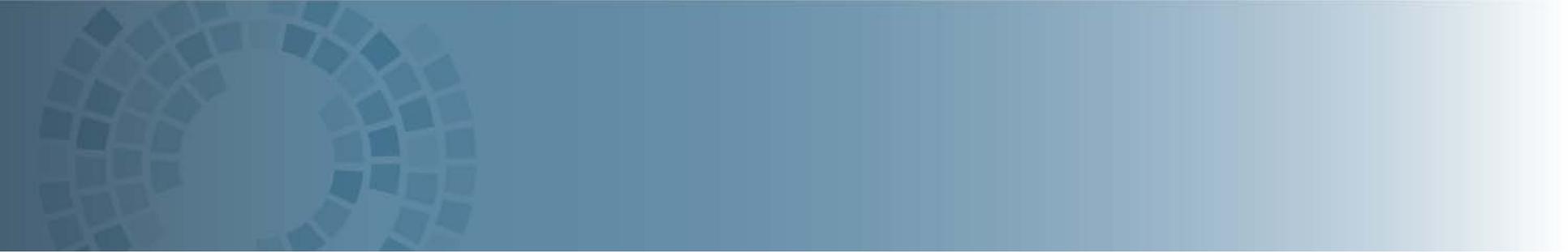


Washington



New York





Comparison of Instruments



Comparing the Content of Assessment Instruments

1. Created a framework of recommended assessment domains and underlying topics.
2. Domains and topics included by the comparison states' UAI were populated within the grid.
3. Topics in a state UAI not included by any external standard were added to initial framework to create expanded table.

Domains

- Background Information
- Financial Assessment
- Health
- Functional Assessment
- Cognitive/Social/Emotional/Behavioral
- Goals and Preferences
- Environmental Assessment (Home, Community)
- Caregiver Assessment
- “Other”

Topics

- **85** topics were shared between the external standards and the states.
- **31** topics were included in the state assessments, but not external standards.
- **10** topics were present in external standards only

Domain: Background

Shared Topics:

- Communication
- Education
- Formal Services and Providers
- Health Insurance
- Informal Support Systems
- Language Issues
- Legal Representatives/Documents
- Others Living in the Home
- Primary Caregiver
- Primary Health Care Provider
- Residential Status
- Spiritual Support (included by 1 state)

Domain: Background

Topics Unique to State Assessments:

- Active Legal Issues (included by only 1 state)
- Assessment Context
- Collateral Contacts
- Comprehension
- Demographics
- Source of Information
- Veteran Status

Domain: Background

Topics Unique to External Standards:

- Cultural History and Influences
- Health Literacy



Domain: Financial Assessment

Shared Topics:

- Employment History
- Income/Assets/Other Private Resources
- Out-of-pocket Expenses and Impact
- Program Eligibility

Domain: Health

Shared Topics:

- Abuse or Neglect (potential for or history of)
- Allergies/Adverse Drug Events
- Assistive Devices or Adaptations
- Continence
- Dental Status
- Fluid Intake
- Gait & Balance Assessment/Falls
- Hearing
- Medical History, Active Diagnoses
- Medications,
 - Medication adherence, Understanding of Medications

Domain: Health

Shared Topics:

- Nutritional Status/Weight Change
- Pain
- Physical Exam
- Special Treatments
- Swallowing
- Vision

Domain: Health

Topics Unique to State Assessments:

- Activity Level
- Client Self-Rated Health
- Improvement or Discharge Potential
- Stability/Instability of Conditions
- Mode of Nutritional Intake
- Patterns of Health Service Use
- Preventive Health
- Skin Condition
- Tobacco Use



Domain: Health

Topics Unique to External Standards:

- Genetic History of Family Health

Domain: Functional Assessment/ADLs

Shared Topics:

- Ambulating
- Bathing
- Bed Mobility
- Dressing
- Eating
- Hygiene
- Mobility (in/out of home)
- Oral Care (only 1 state)
- Toilet Use
- Transferring

Domain: Functional Assessment:/IADLs

Shared Topics:

- Equipment/Supply Management
- Managing Finances
- Managing Medications
- Meal Preparation
- Ordinary Housekeeping
- Shopping
- Telephone Use
- Transportation

Domain: Functional Assessment: IADLs

Topics Unique to State Assessments:

- Stair Climbing

Domain: Cognitive/Social/Emotional/Behavioral

Shared Topics:

- Alcohol or Substance Use
- Behavioral Symptoms
- Cognitive Functioning
 - Judgment/decision-making capacity
 - Memory
- Mood and Affect
- Other Psychiatric
- Recent Change in Cognition/Delirium
- Social Participation/Isolation
- Suicide Risk

Domain: Cognitive/Social/Emotional/Behavioral

Topics Unique to State Assessments:

- Level of consciousness
- Psychological Therapy
- Services Use History (only 1 state)
- Stressors
- Use of Physical Restraint
- Wandering

Domain: Cognitive/Social/Emotional/Behavioral

Topics Unique to External Standards

- Readiness to Change
- Sexual Functioning/Body Image

Domain: Goals and Preferences

Shared Topics:

- Advance Care Planning
- Care Goals, Expectations, Preferences
- Health Goals, Expectations, Preferences (only 1 state)
- Personal Values or Beliefs (only 1 state)
- Transitional or Discharge Plan (only 1 state)

Domain: Environmental Assessment

Shared Topics:

- Communication with Utilities and Emergency Services
- Community Resources (only 1 state)
- Emergency Preparedness
- Housing Accessibility
- Housing Stability (only 1 state)
- Neighborhood Safety
- Safety In-Home
- Telephone Access (only 1 state)
- Transportation Access (only 1 state)

Domain: Environmental Assessment

Topics Unique to State Assessments:

- Access to Food
- Condition of Home

Topics Unique to External Standards:

- Adequate Space

Domain: Caregiver Assessment

Shared Topics:

- Availability to Provide Care
- Emotional Competence/Stability
- History of Abusive Behaviors (only 1 state)
- Hours/Tasks
- Physical Capacity
- Stress or Need for Respite
- Willingness & Ability to Implement Care Plan

Domain: Caregiver Assessment

Topics Unique to State Assessments:

- Receiving Support Services

Topics Unique to External Standards:

- Willingness & Ability to Work with Care Team

Domain: Other

Shared Topics:

- Family Dynamics
- Recreational/Leisure Pursuits (only 1 state)

Topics Unique to State Assessments:

- Need for Supervision
- Pet Care
- Presence of Developmental Disability
- Primary Mode of Locomotion Indoors
- Supervision of Plan or Care (Client or Other)

Domain: Other

Topics Unique to External Standards:

- Learning and Technology Capabilities
- Self-Care Capability/Clients Strengths
- Stage in Life Cycle & Related Developmental Issues

Comparing States with External Standards

Topics endorsed by one or more external assessment standards that are not incorporated by any state instrument:

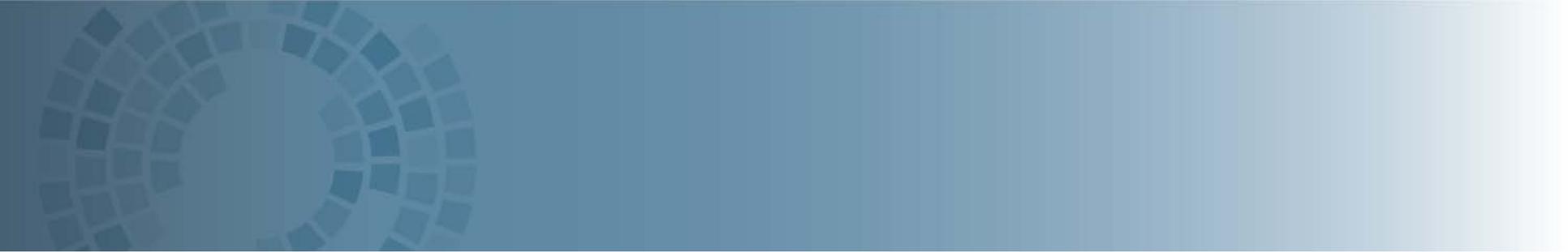
- Cultural History/Influences
- Health Literacy
- Genetic History
- Readiness to Change
- Sexual Function and Body Image
- Adequate Space in the Home
- Caregiver Willingness and Ability to Work with Care Team
- Client's Learning and Technology Capabilities
- Self-Care Capability/Unique Strengths
- Stage in the Life Cycle



Comparing States with External Standards

Topics included by only one example state instrument and not included in any external standard:

- Active legal issues
- Services Use History (Cognitive/Social/Emotional/Behavioral domain)
- Need for Supervision
- Supervision of the Plan of Care



Summary of Lessons Learned

General Themes

- All states assess on a similar range and depth of domains and topics. Instruments differ primarily as a reflection of local programs and system organization.
- 3 of 4 systems were designed with algorithms to trigger care plan elements.
- All use electronic instruments housed in computerized infrastructure that enable data aggregation and system-wide analyses.

Key Findings and Recommendations (1)

- Determine *functions and objectives* of the UAS before determining processes and content.
 - Understand how the instrument will be used by managed care plans.
 - Anticipate uses of the data to ensure that assessments include the right topics and items.
 - Stakeholder engagement is critical for, among other things, goal setting and process design.

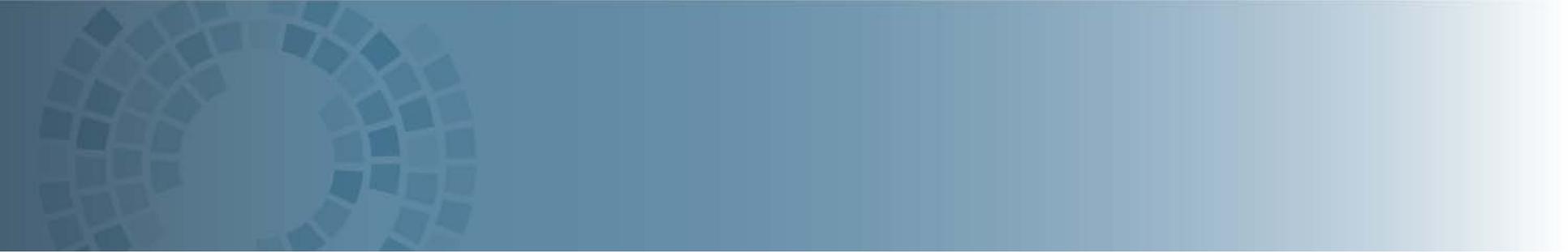


Key Findings and Recommendations (2)

- MDS compatible instruments and interoperable computer systems provide opportunity to assess quality and utilization across settings of care.
 - Valuable for policy development and program planning

Key Findings and Recommendations (3)

- Design systems and instruments that ensure data collected are reliable and valid
 - Using empirically tested measures may increase accuracy of assessment data and facilitate resolution of legal challenges.
 - » Measures can be validated for California's unique populations during the demonstration
 - Computerized instruments that prevent or minimize free-text data entry are preferred
- Staged implementation plans allow assessment instruments and systems to be modified as needed on a manageable scale.



**Thank you for your dedication to this
important work!**

Supplemental Slides



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Who administers the assessments in each state?

State	Instrument	Assessor
	Phone Screen	[No data]
Michigan	Level of Care Determination (LOCD)	Health care professional or staff with oversight by same
	interRAI-Home Care (iHC)	RN + SW +/- others
New York	Universal Assessment System New York (UAS-NY)	RN or SW + NR team
Pennsylvania	Level of Care Assessment (LOCA)	Bachelor-level SW
	Care Management Instrument (CMI)	Bachelor-level SW, other?
Washington	Comprehensive Assessment Reporting Evaluation (CARE)	Relevant undergraduate degree

Michigan

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Independent Living Services	Range of services to maintain capacity in the home. 1+ ADL, ME	59,000	Limited functional assessment
MI Choice*	Similar to ILS but requires NF LOC & age 65+ or 18-64 + a disability	11,000	LOCD, iHC

New York (slide 1 of 2)

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Personal Care Services Program	Personal care services for 1+ADL	64,000	UAS-NY
Long Term Home Health Care Program*	Home medical, nursing, & rehab care for NF LOC + a disability	24,000	UAS-NY
Managed Long Term Care	LTC services for 65+, NF LOC + chronic illness or a disability	20,000	UAS-NY
Adult Day Health Care	Medical supervision for all ages + physical or mental impairment	13,000	UAS-NY

New York (slide 2 of 2)

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Assisted Living Program	Services for NF LOC; must not requite continual nursing care	2,000	UAS-NY
Traumatic Brain Injury*	18+ with TBI or related condition, 18-64 + NF LOC + ME, injured after age 18	2,000	UAS-NY
Nursing Home Transition and Diversion Waiver*	Transition or diversion program. NF LOC, 65+ or physically disabled 0-64	160	UAS-NY

Pennsylvania (slide 1 of 2)

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Aging Waiver*	LTC services to 60+ NF LOC	29,000	LOCA, CMI
OPTIONS**	Targeted to Medicaid ineligible a/o no NF LOC	25,000	LOCA, CMI
Attendant Care Waiver/Act 150*	Mentally-alert 18-59 + physical disability	7,000	LOCA, CMI
Family Caregiver Support Program	Services for 60+ w/chronic dementia. Must meet financial criteria	7,000	LOCA, CMI

Pennsylvania (slide 2 of 2)

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Independence Waiver*	HCBS for physically disabled. NF LOC, 3+ ADL, financial eligibility	5,000	LOCA, CMI
AIDS Waiver*	HCBS for 21+ w/HIV disease or AIDS	800	NOT the LOCA
COMMCARE Waiver*	HCBS for 21+, NF LOC, TBI, financial eligibility	729	LOCA, CMI

Washington

Program (State Plan, Waiver*, State- Only Funded**)	Description/Population Served	Number Served	Assessment
Community Options Program Entry System (COPES)*	Services to avoid NF placement. 65+, NF LOC, 18-64 + a disability	35,000	CARE
Medicaid Personal Care	ADL assistance for SSI recipients or others approved by CN medical programs	26,000	CARE
New Freedom*	HCBS while managing own plan and budget. 65+, 18-64 disabled	230	CARE