

***Frameworks for Universal  
Assessment:  
External Recommendations  
and Vocabulary for the  
Assessment Process***

Web Meeting

*October 30, 2013*



The University of California Los Angeles Borun Center  
for Gerontological Research

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I have no financial relationships to disclose

I will not discuss off label or investigational use of medical products

# Acknowledgements



UCLA NRSA GIM Fellowship in Primary Care & Health Services Research

Department of  
**SOCIAL SERVICES**



# Background

- Californians seeking state assistance with Long-term Services and Supports (LTSS) encounter an often daunting array of fragmented & inadequately coordinated services
- California Legislative Welfare and Institutions Code Section 14186.36, as established by Senate Bill 1036, Chapter 45, Statutes of 2012 (SB 1036)
  - Develop a Universal Assessment Process



# Uniform Assessment: Potential Improvements in Care & Coordination

- Can facilitate consistent and reliable identification of the individual's met and unmet need for home and community based services (HCBS)
- Can simplify access to programs and supports
- Can decrease fragmentation and improve services provided

# Uniform Assessment: Potential Improvements in Program Planning and Evaluation

- Can enhance information exchange and data sharing across counties & programs
- Can allow the state to better understand the population requesting long term services and supports
- Can contribute to better monitoring of quality and health outcomes

# Uniform Assessment: Potential Challenges

- Change can be costly and requires significant planning
- Served populations are diverse
  - Valid across subgroups
- Uniform items  $\neq$  reliable
- Perfect can be enemy of good
  - Tradeoff between Comprehensive and Feasible
- Item set constituencies: developers and programs
- Protecting individual voice



# Purpose of Planning Grant

- Conduct an analysis of promising practices that can inform decision makers in planning for the implementation of Uniform Assessment
  - Provide a framework to consider in transforming the LTSS system into one that organizes care around individual need rather than existing program structures

# Research Objectives We Will Address Today:

- Identify existing recommendations for the content of uniform assessment focused on improving need identification as a step toward better care planning and resource allocation decisions
- Examine and extract from comparator states information about the effectiveness of UA systems, including their instruments, staffing, care planning, and program functioning

# Why Look At External Standards?

- Provide a framework for:
  - content comparison of various state instruments
  - organizing and guiding potential items for CA
  - discussions of scope

# How Did We Find Standards?

- Performed web searches using select key terms
- Identified candidate news articles, peer-reviewed literature, grey literature, manuals, and policy briefs
- Asked content experts to identify key entities with common interest
- Obtained non-copyrighted instruments and guidelines from recognized entities whose objective was to provide assessment standards



# Standards Identified

- Balancing Incentive Program (BIP) Manual (2011)
- Case Management Society of America (CMSA), Standards of Practice for Case Management (2010)
- National Association of Social Workers (NASW), Standards for Social Work Practice (2005)
- American Medical Association (AMA) and American Academy of Home Care Physicians (AAHCP), Guidelines (2012)
- Program of All-Inclusive Care for the Elderly (PACE) Manual (2011)

# Nine Domains identified

- Background
- Financial
- Health
- Function
- Cognitive/social/  
emotional/behavioral
- Goals and preferences
- Environment
- Caregiver
- Other

# Domain: Background Information (slide 1 of 2)

## Topics

- Communication
- Cultural History and Influences
- Education
- Formal Services and Providers
- Legal Representatives/Documents
- Health Insurance



# Domain: Background Information (slide 2 of 2)

- Health Literacy
- Informal Support Systems
- Language Issues
- Others Living in the Home
- Primary Caregiver
- Primary Health Care Provider
- Residential Status
- Spiritual Support

# Domain: Financial Assessment

## Topics:

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



# Domain: Health (slide 1 of 2)

## 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
- Genetic History of Family Health
- Hearing



# Domain: Health (slide 2 of 2)

- Medical History, Active Diagnoses
- Medications
  - Medication adherence
  - Understanding of medications
- Nutritional Status/Weight Change
- Pain
- Physical Exam
- Special Treatments
- Swallowing
- Vision

# Domain: Functional Assessment (slide 1 of 2)

- Instrumental Activities of Daily Living
  - Equipment/Supply Management
  - Managing Finances
  - Managing Medications
  - Meal Preparation
  - Ordinary Housekeeping
  - Shopping
  - Telephone Use
  - Transportation



# Domain: Functional Assessment (slide 2 of 2)

- Basic Activities of Daily Living
  - Ambulating
  - Bathing
  - Bed Mobility
  - Dressing
  - Eating
  - Hygiene
  - Mobility (in/out of home)
  - Oral Care
  - Toilet Use
  - Transferring

# Cognitive/Social/Emotional/Behavioral (1 of 2)

## Topics:

- Alcohol or Other Substance Use
- Behavioral Symptoms
- Cognitive Functioning
  - Judgment/decision-making capacity
  - Memory
- Mood and Affect
- Other Psychiatric



# Cognitive/Social/Emotional/Behavioral (2 of 2)

- Readiness to Change
- Recent Change in Cognition/Delirium
- Sexual Functioning/Body Image
- Social Participation/Isolation
- Suicide Risk

# Domain: Goals and Preferences

## Topics:

- Advance Care Planning
- Care Goals, Expectation, Preferences
- Health Goals, Expectations, Preferences
- Personal Values or Beliefs
- Transitional/Discharge Plan



# Environmental Assessment (Home, Community)

(slide 1 of 2)

## Topics:

- Adequate Space
- Communication with Emergency Services & Utilities
- Community Resources
- Emergency Preparedness
- Housing Accessibility



# Environmental Assessment (Home, Community)

(slide 2 of 2)

- Housing Stability
- Neighborhood Safety
- Safety In-Home
- Telephone Access
- Transportation Access

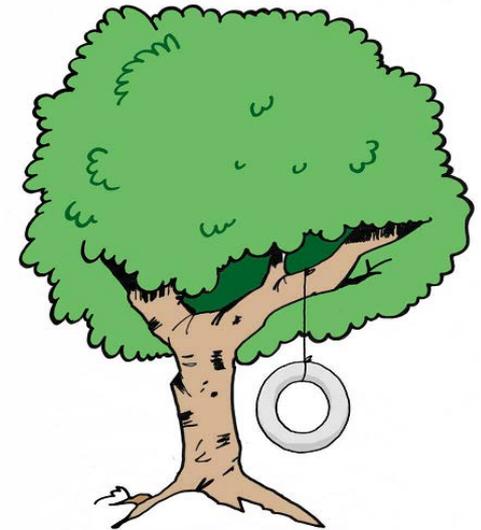
# Domain: Caregiver Assessment

## Topics:

- Availability to Provide Care
- Emotional Competence/Stability
- History of Abusive Behaviors
- Hours/Tasks
- Physical Capacity
- Stress or Need for Respite
- Willingness/Ability to Implement Care Plan
- Willingness/Ability to Work with Care Team

# Other

- Family Dynamics
- Learning and Technology Capabilities
- Recreational/Leisure Pursuits
- Self-Care Capability/ Client Strengths
- Stage in Life Cycle & Related Developmental Issues



# Summary of External Standards: Most Common Domains

- Background and Demographic Information
- Financial Assessment
- ADLs
- IADLs
- Cognitive/Emotional/Behavioral
- Goals & Preferences

# Summary of External Standards: Least Common Domains

- Health
- Environmental Assessment
- Caregiver Assessment
- “Other”



# Establishing Uniform Vocabulary for Assessment Processes



# Learning From the Experiences of Others

## Purpose:

To support California's effort to develop a Uniform Assessment (UA) System by providing information on the content of four selected states' UA instruments, their associated data collection approaches, and their use for eligibility and needs determination, care planning, and quality assurance systems.

# Study of Four Model States

## Approach:

We reviewed websites, waiver documents, and interviewed program leads in

- Washington
- Michigan
- Pennsylvania
- New York

# Developing an Assessment Framework

## Approach:

Developed and refined a definitional framework to harmonize inconsistent nomenclature across states and programs.

- Discussion with members of the Core Advisory Group and academic partners
- Comparison to The Hilltop Institute's 2009 report, entitled "Comprehensive Assessments in Home and Community-Based Services"
- Reference against information gathered in KI interviews

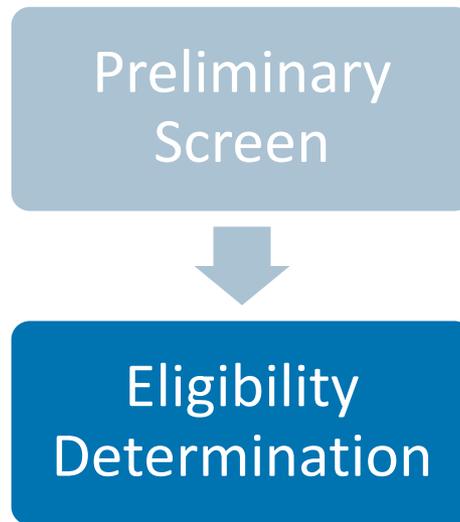
# Components of Comprehensive Assessment



# Preliminary Screen

Initial contact with applicant seeking to gain entry into an eligibility process or waiting list. Identifies who will go on to a more in-depth assessment.

# Components of Comprehensive Assessment



# Eligibility Determination

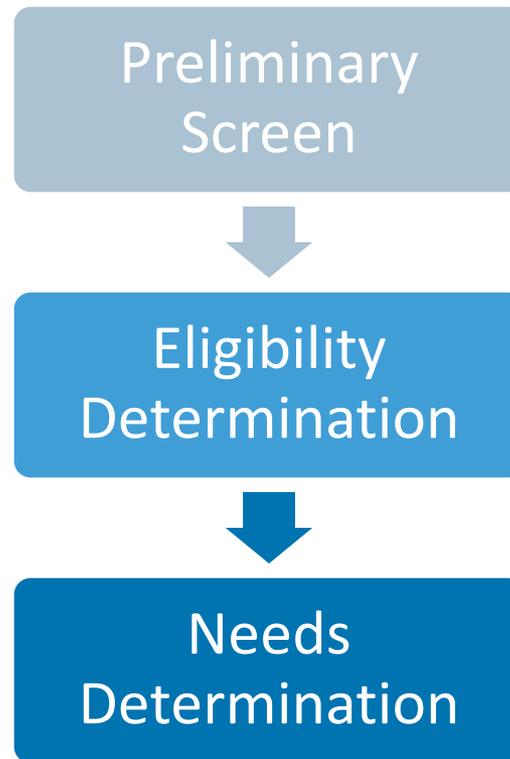
## Functional Eligibility

- Often referred to as the "level of care determination." For HCBS 1915(c) waiver programs, establishes that nursing home level of care criteria are met.

## Financial Eligibility

- Establishes that financial criteria are met. Typically performed by the state Medicaid department.

# Components of Comprehensive Assessment



# Needs Determination

Identification of specific service needs. Sometimes referred to as “clinical eligibility determination.”

# Components of Comprehensive Assessment



# Care Planning

Development of a plan of service delivery that takes into account an individual's needs and goals of care, existing sources of care and support, and resources available through a range of formal programs and informal supports.

# Components of Comprehensive Assessment



# Service Authorization

Establishing a budget or allocating service hours. May be generated by algorithms that rely upon information gathered during needs assessment or through the development of the care plan, or may be accomplished through a separate process.

# Components of Comprehensive Assessment



# Service Coordination and Case Management

Determination that services prescribed by the care plan match identified needs and services delivered, and that service delivery is timely.

# Components of Comprehensive Assessment



# Quality Monitoring

Quality monitoring may include reviews of completed assessments or aggregated data, as well as practices that ensure that data collection is consistent across assessors.

# Components of Comprehensive Assessment



# Reassessment

Repeated assessments that accomplish one or more functions

- (1) To verify continued eligibility (functional and/or financial)
- (2) To verify effectiveness of the care plan
- (3) To assess changing needs

Reassessments are typically conducted quarterly to annually or when there is a change in status.

# Components of Comprehensive Assessment





# Summary

- Uniform assessment is a multistep process.
- This framework provides unifying terminology that allows us to identify and discuss process components.
- We will use this structure to evaluate comparator states.