Frameworks for Uniform Assessment in California: Vocabulary for the Assessment Process

The University of California Los Angeles Borun Center for Gerontological Research

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Acknowledgements

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 Challenges

- Change can be costly and requires significant planning
- Served populations are diverse
  - Valid across subgroups
- Uniform items ≠ 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

How Did We Find Standards?

- Performed web searches using select key terms

- Indentified 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)

Terms Defined

- **Domain**: broad area
  - e.g. Functional Status

- **Topic**: focus within the domain
  - e.g. Mobility

- **Item**: specific question and response choices
  - e.g. Ability to walk across the room

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

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Eligibility Determination

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Needs Determination

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Care Planning

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Service Authorization

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Service Coordination, Case Management

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Quality Monitoring

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Reassessment

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We Reviewed California Assessments

APPENDIX B: Assessment Comparison of Three HCBS Programs in California					
	CBAS		IHSS		MSSP[5]
	CEDT[1]	IPC[2]	SOC 295[3]	SOC 293[4]	
Background Information					
Active Legal Issues					X
Assessment Context	X			X	X
Collateral Contacts	X			X	X
Communication*	X	X		X	
Comprehension	X			X	X
Cultural History and Influences*					
Demographics			X	X	
Education*					X
Formal Services and Providers*	X	X	X	X	X
Health Insurance*					
Health Literacy*					X
Informal Support Systems*		X		X	
Language Issues*	X		X	X	X
Legal Representatives/Documents*				X	X
Others Living in the Home*	X		X	X	X
Primary Caregiver*	X	X		X	
Primary Health Care Provider*		X		X	X
Residential Status				X	X
Source of Information					
Spiritual Support*					
Veteran Status			X		
Financial Assessment					X
Employment History*					X
Income/Assets/Other Private Resources*					X

Goals/Values to Consider

- Person centered processes and items
- View assessments as strength based
- Support care planning focused on independent living in the community
- Not adversely impact current recipients
  - Burden
  - Equity

➢ **Are these the right goals**

➢ **What is optimal length?**

Items Will Have Two Draft Sections

- HCBS-CIS (Core Item Set)
  - IHSS
  - MSSP
  - CBAS

- Candidate Supplement & Replacement Items

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How Do We Get There?

- Iterative process
  - Item matrices
  - Stakeholder input
  - Pretesting

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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.