Policy Transmittal
Aging and People with Disabilities

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Number: APD-PT-20-016
Issue date: 3/3/2020

Topic: Long Term Care

Due date:

Transmitting (*check the box that best applies*):

☐ New policy ☐ Policy change ☒ Policy clarification ☐ Executive letter
☐ Administrative Rule ☐ Manual update ☐ Other:

Applies to (*check all that apply*):

☐ All DHS employees
☒ Area Agencies on Aging: Type B
☒ Aging and People with Disabilities
☐ Self Sufficiency Programs
☐ County DD program managers
☐ Support Service Brokerage Directors
☐ ODDS Children's Residential Services
☐ Child Welfare Programs
☐ County Mental Health Directors
☐ Health Services
☐ Office of Developmental Disabilities Services (ODDS)
☐ ODDS Children's Intensive In Home Services
☐ Stabilization and Crisis Unit (SACU)
☐ Other (*please specify*):

Policy/rule title:	APD Assessment Standards and Practices		
Policy/rule number(s):		**Release number:**	
Effective date:		**Expiration date:**	
References:			
Web address:			

Discussion/interpretation:
This transmittal is intended to provide additional guidance and expectations to case managers or other qualified staff when completing an assessment for long term care services and supports (LTSS).

OAR 411-015-0008(1)(e) states: "The assessment must be conducted at least annually, or when requested by an individual, **with a standardized assessment tool**, approved by a Department case manager, or other qualified Department or AAA representative."

In this communication we want to clarify what is meant by "with a standardized assessment tool". The standardized assessment tool is the Client Assessment and Planning System, also known as CA/PS. Clarification is also necessary based guidance from DAS regarding retention requirements (OAR 166-017-0035 and 166-300-015). Per CMS Records Retention Schedule notes taken during assessment are considered to be "records that facilitate the management of beneficiaries" which are in "Bucket 5" (DAA-0440-2015-0007).

When assessing an individual for LTSS, case managers or other qualified staff must utilize the CA/PS tool in one of two ways:

1) A Department or AAA issued laptop (standard); or
2) An approved paper tool (APD CM Tools > Assessment Tools > Full CA/PS Assessment – Paper tool)

Not all situations or care settings are conducive to completing an entire CA/PS tool in person. In those scenarios it is critical that:

1) The case manager or other qualified staff captures as much pertinent information on the approved tool of their choosing during the assessment.
2) The environment be clearly documented in the synopsis of the assessment to explain what prevented the case manager or other qualified staff from capturing all the information during the assessment. It is also helpful for this information to be narrated in Oregon ACCESS.
3) The method(s) used to gather any additional clarifying or collateral information must be documented, including dates.

If a paper tool is used it is critical that it be the most recent version of the CA/PS paper tool and that it be saved and scanned into the consumers case file in EDMS. After confirming the document(s) have been successfully saved in EDMS they should be placed in a confidential shred bin.

Based on guidance from DOJ ***any*** notes taken must also be saved to the case file (EDMS) as is, any change requires an accompanying narration to describe the reason for the change(s).

Case managers or other qualified staff should not rely solely on their memory to complete assessment and assessment comments at the office after returning from the assessment. If the assessment status is not updated to complete within three business days a narration must be entered indicating the assessment occurred.

Case managers or other qualified staff should not use note pads or sticky notes to gather information during an assessment. If a case manager or other qualified staff wishes to take handwritten notes, the notes must be taken on the approved paper tool.

Case managers or other qualified staff with an approved accommodation are not required to adhere to this policy but must save their assessment notes to the individuals case file in EDMS.

Additional Clarification:

Q: Some CMs check out their case and open the CAPS tool during the assessment; however they may or may not select the appropriate assist level; they may make comments in the comments section of the CAPS tool, type their notes in the Synopsis, or open a Word document and create a document with their notes. Is this an acceptable practice?
A: It is okay for CMs to use either the Synopsis field or a word document to capture notes and statements during the assessment. The key is to have the assessment information available and capture the notes in a trackable manner. Per DOJ recommendations those notes should be saved to the consumers case file in EDMS as is, any change requires an accompanying narration to describe the reason for the change(s).

Q: Some CMs will print the previous 002N as a reference sheet; some will highlight sections to remind them to ask questions or they make notes on them for reference later. Can they do this?
A: Reviewing previous assessment summaries and referring to them for reference is appropriate, however no notes may be captured on them. Handwritten notes must be limited to a current version of the CA/PS paper tool which must be scanned to the consumers case file in EDMS.

Q: Some CMs have reported that trainings have instructed them to open a word document while completing the assessment, is this appropriate?
A: During past trainings CMs have expressed struggles navigating between components in the CA/PS tool while conducting a person-centered assessment. Through policy the training teams has communicated to CMs that they may choose to use the Synopsis field or a word document, including the CA/PS paper tool, to capture their notes. If the CM chose to use a word document rather than the synopsis and comments, that document would need to be added to the consumers case file in EDMS.

Q: What does a CM do when, after gathering additional information, the assessed need level on their notes or the original assessment changes?
A: The CM may update their notes or the CA/PS comments at any time prior to the assessment being pushed to complete as long as they make it clear in narration that information was changed and why.

Q: Some CMs complete the CA/PS comments or Synopsis in the field; when they return, they transfer their comments to a word document to edit for any typos, spelling or grammar issues and make any necessary corrections. Is this okay?
A: It is okay to make corrections to the assessment after returning to the office. It would be best if the CM also narrated that they went back into the assessment to

correct or complete the comments etc.

Implementation/transition instructions:
Effective immediately, case managers or other qualified staff conducting assessments for LTSS must adhere to the above policy.

When an assessment decision is referred for an administrative hearing and it is determined through a review of narration and CA/PS comments that the assessment was completed but did not adhere to this policy, the assigned hearing representative will immediately withdraw the notice and refer it back to the local office to follow this policy. The hearing representative will provide the case manager with the required steps to correct the case including manually issuing a new Buckley Notice, form 70B, and completing a new assessment with an approved tool.

Training/communication plan:
Provide technical assistance as needed.

Local/branch action required:

Central office action required:

Field/stakeholder review: ☒ Yes ☐ No
If yes, reviewed by: APD and AAA Review groups

Filing instructions:

If you have any questions about this policy, contact:

Contact(s): APD Policy	
Phone:	Fax:
Email: APD.Policy@state.or.us	