C. The Assessment Wizard

The Assessment Wizard in CAPS 2 is used to record service eligibility determination information. The Assessment Wizard information is only one part of the three components of a Holistic assessment. Per SPD policy, holistic assessments include an Assessment Wizard, Client Details information and Service Planning.

*Launch the Wizard with no Assessments*

To launch The Assessment Wizard in CAPS 2, start by clicking the CAPS icon on the ACCESS toolbar. This brings up the CAPS Menu window:

Select the first option, “Assessments”, and then click [Next].

If the individual has no assessments, the window shown on the next page will pop up.
Create Assessment Action Description:

1. Launches the Assessment Wizard.
2. Drop down list of assessment types for the Assessment Wizard.
3. Launches the SPPC Assessment Wizard.
4. Drop down list of assessment types for the SPPC Assessment Wizard.

Select the appropriate assessment wizard and the type of assessment.

The types of assessments for The Assessment Wizard are:
- Title XIX (Title XIX)
- Oregon Project Independence (OPI)
- Adult Protective Services (APS)
- Pre Admission Screening (PAS)
- Quality Assurance (QA)

The types of assessments for SPPC Assessment Wizard are:
- Client Eligibility
- Quality Assurance (QA)

If the individual has at least one assessment in CAPS 2, the tool moves directly to the Assessment Status Overview screen described below.
Assessment Status Overview Screen Descriptions

If the individual has prior assessments recorded in CAPS 2, the Assessment screen will look similar to this when it is first opened:

Assessment Status Overview Screen, Title XIX Assessment View:

This screen is “read only”. See the Right Click Functionality, Assessment Screen, of this cookbook for more information on this screen.

1. **Navigation Tree** – displays the most recent assessment on top. Headings are coded in this order: assessment date, assessment type (SPPC, PAS, OPI, etc.), and status (Pending, Completed, or Ended).

2. **Assessment Status** – displays the status of the assessment:
   a. **Pending** – an assessment that was started but has yet to be completed. Assessments with a pending status for 60 days beyond the Assessment Date will automatically expire from the system.
b. **Completed** – an assessment that has been completed. Assessments with a status of Completed that do not have a Service Plan attached will automatically expire from the system after 90 days.

c. **Ended** – an assessment that has expired (past the Valid Until date) or has been closed early.

d. **Administrative** – management override for date extension, date correction, and/or administrative decision to override rules.

e. **Invalid** – completed assessment, with or without an associated Benefit, determined to be no longer valid.

f. **Incomplete** – an assessment that has not been completed and/or has been withdrawn.

3. **Type Indicator** – displays the assessment type that was selected when the assessment was created. This can be changed while the assessment is in a “Pending” status.

4. **SPL Indicator** – displays the Survival Priority Level as determined by the Wizard based on the answers to the questions.

5. **Worker** – name of worker who completed the assessment.

6. **Assessment Date** – the date the assessment was started, determined when the assessment is recorded in CAPS 2.

7. **Valid Until** – the date when this assessment is no longer valid, determined by the system when the assessment is entered into CAPS 2.

8. **Review Before** – the date before which a new assessment must be completed, determined when the assessment is entered into CAPS 2.

9. **Status Reason** – if the assessment status has been changed from “Completed”, a reason will be displayed here.

10. **Details** – will display the reason the assessment status was changed.

The above information is of an assessment type other than State Plan Personal Care, the SPPC assessment type looks almost identical only field number 4 is not available as SPL does not apply to SPPC assessment types.

See next page:
Assessment Status Overview Screen, SPPC Assessment View:

Launch the Wizard with Prior Assessments

After selecting the Assessment option in the CAPS Menu window and clicking [Next], the Assessment Status Overview screen appears. If the individual already has one or more assessments, the Navigation Tree will display the existing assessments with the current assessment’s summary screen visible. To create a new assessment from the Assessment Status Overview screen, see next page.
Assessment Status Overview Screen:

Step 1. Right click (move the mouse cursor over the heading and press the right button on the mouse) on the header “Assessments”.

Step 2. Select “New” by moving the mouse pointer over the word “New”.

[Image of the Assessment Status Overview Screen with steps highlighted]
The Create Assessment Action window appears.

Step 3. Select the first option for the Assessment Wizard.
Step 4. Select the assessment type from the drop down.
Step 5. Click [Next] to launch the wizard.

Assessment Wizard Entry Screen

When starting a new assessment, whether the individual has prior assessments in CAPS 2 or not, this is the first screen in the Assessment Wizard, see next page.
### Assessment Wizard Entry Screen Description:

This screen looks very similar to the Assessment screen for an existing assessment. Here are descriptions for this screen:

1. **Navigation Tree** – displays the order of navigation in the Assessment Wizard and tracks your progress (see the Navigation Tree section).
2. **Assessment Status** – displays the status of the assessment entered into the wizard:
   - **Pending** – an assessment that was started but has yet to be completed. Assessments with a pending status for 60 days beyond the Assessment Date will automatically expire from the system. This is the default when launching a new assessment.
   - **Completed** – an assessment that has been completed. Assessments with a status of Completed that do not have a Service Plan attached will automatically expire from the system after 90 days.
   - **Ended** – an assessment that has expired (past the Valid Until date) or has been closed early.
3. **Type Indicator** – displays the assessment type as selected on the Assessment Summary Action window. This can be changed while the assessment is in “Pending” status.

4. **SPL Indicator** – displays the Survival Priority Level as determined by the wizard based on the answers that have been entered. This should be blank until the Four ADLs have been answered, at least.

5. **Worker** – name of worker who is completing the assessment, this defaults to the worker who is logged into CAPS 2 and entering the information.

6. **Assessment Date** – the system defaults this date to the date the Assessment Wizard was launched in CAPS 2. This date is editable per SPD rules. The system allows a date up to 31 days prior to today’s date.

7. **Valid Until** – the system defaults this date to the end of the month, one year out from the Assessment Date. This date is locked and can not be edited.

8. **Review Before** – this is a user determined field. The system defaults this date to the same date as the Valid Until date. This should be set according to SPD rules, the month of (or prior to) the assessment Valid Until date field above.
   - Special rules for PAS: If relocation is needed; the PAS Screener will set this date prior to or within the timelines of the anticipated relocation date. If relocation is not anticipated; the PAS Screener will leave this date at the default – month and year of the Valid Until date.

9. **Status Reason** – a drop down list to be entered when the Assessment Status has been changed. See Status Change Chart on the CM web site for details on what statuses can be changed and by whom.

10. **Details** – a free-form text field for comments related to why the Assessment Status was changed.

11. **[Next] button** – used to move forward in the wizard. On the ADL and component ADL question screens this button is used to save answers and trigger the next question.
NOTE: The Assessment Wizard has been designed for users to use the [Next] button to move on to the next question. While the wizard will still save answers if the Navigation Tree is used instead of the [Next] button, it will **NOT** trigger the follow-up questions **unless** the [Next] button is clicked. See **Important Tips**.

**Quick Help, The Assessment Wizard**

The assessment wizard has been programmed with a Quick Help topic for each component ADL/IADL containing rule definitions to assist in answering the questions. To see these definitions, click on the title bar of the ADL/IADL on the right hand side of the screen:

**The Assessment Quick Help Screen View:**

Clicking anywhere else in the screen will close the Quick Help window.
**Entering Assessment Information**

Either way that the wizard is launched, follow these steps to begin entering information into the wizard:

**Assessment Wizard Entry Screen View:**

On the Assessment Wizard Entry screen above:

**Step 1.** Verify the name of the Worker

**Step 2.** Verify or enter the correct Assessment Date and Review Before date.

**NOTE:** See Assessment Wizard Entry Screen section for more details about the dates on this screen.

**Step 3.** Click the [Next] button in the lower right corner.

- This will begin the assessment with Mobility/Ambulation.
- The wizard then flows through the process of completing an assessment.
On the ADL and component ADL screens:

**Step 1.** Answer the question(s) by selecting either Yes or No and/or selecting the appropriate option from a drop down list.

**Ambulation Question View:**

**Step 2.** Enter comments before moving on from the screen. It may be best to enter comments prior to answering the questions. To enter a forgotten comment or edit a comment, see Comments section.

**Step 3.** Click the [Next] button to move on to the next question.

Follow steps 1 through 3 above for each of the Four ADL questions.

**Treatments Screen**

After answering the last component ADL question for the Cognition/Behavior ADL (Wandering) and clicking [Next], the wizard moves to the Treatments screen. Use the Treatments screen, to enter the information for any treatments the individual is currently receiving.
Treatments Screen Description:

Description of Treatments screen:
1. **Navigation Tree** – displays the order of navigation in the Assessment Wizard and tracks your progress (see The Navigation Tree section).
2. **Type group box** – displays the category Types for Available Treatments.
3. **Available Treatments group box** – list of available treatments associated with the Treatment Type selected in the Type group box.
4. **Selected Treatments group box** – Worker populated (see instructions below) with the Treatments the individual is currently receiving.
5. **Comments field** – a free form text field for capturing supporting documentation and additional information that is not available in the above selections.
6. **[Summary] button** – brings up a summary report of all the Treatments selected for the individual. This report can only be
printed from this window; it is not available in the Print Forms module of ACCESS.

7. **[Next] button** – used to save the information and move on to the next screen.

**Treatment Summary Print Screen:**

Click the [Print] button to print the summary, if needed. This report can only be printed from this window; it is not available in the Print Forms module of ACCESS.

**Entering Treatments**

To enter the individual’s Treatments:

**Step 1.** Select a Treatment Type from the Type group box by clicking on it.
Step 2. Select a Treatment from the Available Treatments list in the center group box by double clicking or click and drag it to the right group box, Selected Treatments.

Step 3. Select the Frequency from the drop down list.

- To select multiple Treatments at the same time: click once on each Treatment to be added. Click on one of the selected Treatments and drag it to the Selected Treatments group box. This will drag all highlighted Treatments to the Selected Treatments group box. Then select the Frequency for each.
Click once on each Treatment:

<table>
<thead>
<tr>
<th>Type</th>
<th>Available Treatments</th>
<th>Selected Treatments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Behavior</td>
<td>Ambulation Exercises</td>
<td></td>
</tr>
<tr>
<td>* Bowel/Bladder</td>
<td>Cast or Brace Care</td>
<td></td>
</tr>
<tr>
<td>Eating</td>
<td>Fracture (Unstable Fracture/New Case)</td>
<td></td>
</tr>
<tr>
<td>Medication</td>
<td>Hip Precautions (Total)</td>
<td></td>
</tr>
<tr>
<td>Mobility</td>
<td>Hoyer Lift Transfer</td>
<td></td>
</tr>
<tr>
<td>Oxygen</td>
<td>Non/Partial Weight Bearing (Assist R)</td>
<td></td>
</tr>
<tr>
<td>Skin/Nails</td>
<td>Physical Therapy-Cold Therapy</td>
<td></td>
</tr>
<tr>
<td>Tracheostomy</td>
<td>Physical Therapy-Heat Therapy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prosthesis</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prosthesis &amp; Stump Care (Maintenance)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Range of Motion (ROM)-Active</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Range of Motion (ROM)-Passive</td>
<td></td>
</tr>
</tbody>
</table>

Click-and-drag the Treatments:

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</thead>
<tbody>
<tr>
<td>Behavior</td>
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<td></td>
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<td>Medication</td>
<td>Hip Precautions (Total)</td>
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<td>Mobility</td>
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<td></td>
</tr>
</tbody>
</table>

Step 4. Repeat Steps 2 and 3 for each Treatment for the selected Type.
Step 5. Repeat Steps 1 through 4 for each Treatment Type.
Step 6. Click or tab into the Comments field and enter any supporting documentation and additional information that is not available in the above selections.

Step 7
Step 7. Click the [Summary] button to view and print a summary of the Selected Treatments and their frequencies. This report can only be printed from this window; it is not available in the Print Forms module of ACCESS.

Step 8. Click the [Next] button to save this information and move on to the Supports screen.

Supports Screen

Once the Treatments screen is completed, click [Next], and enter the Supports screen. This area is used to indicate whether the individual’s needs (as identified thus far in the wizard) are being met.

Supports Screen Description (Four ADLs):

![Supports Screen Image]
Description of the Supports screen:

1. **Navigation Tree** – displays the order of navigation in the Assessment Wizard and tracks your progress (see The Navigation Tree section).

2. **Needs column** – displays the Needs associated with the Four ADLs. Only the Needs determined to have an assist level of “Assist” or “Full Assist” for the individual will be available for editing.

3. **Status column** – used to indicate the level at which the Need is currently being met or not.

4. **Provider column** – used to indicate if the provider(s) for an identified Need is paid or unpaid.

5. **[Supports/Contacts] button** – accesses the Supports/Contacts window for the individual. Enter any new Contacts and Natural Supports or edit information of existing contacts here. This is discussed in the Entering Contact Information section of this cookbook.

6. **[Next] button** – used to save the information and move on to the Synopsis screen.

**Entering Supports**

The fields in the Status and Provider columns are available only for those needs that were identified during the assessment of the Four ADLs as having an Assist Level greater than Independent. If a desired need is not available, use the Navigation Tree to go back to a question to review the answer. If changing an answer to a question, it is required to click the [Next] button for that question in order to trigger any potential follow-up question(s) due to the change.

**NOTE:** Changing an answer(s) to any question(s), means the Status and Provider information previously entered on the Supports screen will be erased for the Need(s) affected. To fix this, navigate back to the Supports screen to enter any changed or new information.

To enter the information on the Supports screen, follow these steps: (see next page)
Step 1. Answer the question in the header by selecting the appropriate Status from the drop down list (Met, Partially Met, Unmet, or Decline) for each available Need.

Step 2. Then select whether the provider is paid, unpaid, or paid/unpaid (multiple providers) from the drop down list in the Provider column for each available Need.

Step 3. Once entry is completed, click the [Supports/Contacts] button to enter new Contacts/Natural Supports or edit existing Contacts/Natural Supports. This is discussed in the Entering Contact Information section of this cookbook.

Step 4. Once the Status and Provider information is entered for all available needs, click the [Next] button. The wizard moves to the Assessment Synopsis screen.
Assessment Synopsis Screen

This is a new feature in CAPS 2 and is used for the documentation of the following:

- General statement of the individual’s age and physical and mental health status.
- Recent events that may affect the individual’s ability to function.
- Important interests, motivators, family and other significant supports.
- For re-assessments, significant changes in any of the above.
- Quick summary of major issues, individual preferences or needs.
- Quick summary of service needs or plans.

The Assessment Synopsis may be a fuller explanation of comments or may make reference to comments in the Assessment Wizard or in the Client Details module. The Synopsis is attached to an individual assessment and, as with the Comment fields, it is locked and un-editable once the assessment is set to “Completed” status. The synopsis is NOT intended to replace the Case Narrative required in Oregon ACCESS but to supplement both the Case Narrative and Comments. In general, the synopsis is about the person assessed while the Case Narrative focuses on the assessment, on-going or follow up information to issues raised in the assessment and information that other workers without rights to access need to know. Questions about narratives should be staffed.

The Assessment Synopsis screen has a very simple design; one large free form text field, a [Spell Check] button, and the [Next] button. See next page.
Assessment Synopsis Screen Description:

Description of the Assessment Synopsis screen:

1. **Navigation Tree** – displays the order of navigation in the Assessment Wizard and tracks progress (see The Navigation Tree section).

2. **Synopsis field** – a free form text field for documenting any issues specific to this particular assessment that were not captured in the various Comment fields of the Assessment Wizard or in the Comment fields in the Client Details module.

3. **[Spell Check] button** – initiates the spell check feature. If a spelling error is found, it may be corrected.

4. **[Next] button** – used to save the information and move on to the SPL and Needs Summary screen.
**Entering a Synopsis**

To enter the Synopsis:

**Step 1.** Click anywhere within the synopsis field to activate it.

**Step 2.** Enter the relevant information.

**Step 3.** Click the [Spell Check] button in the lower left corner to correct any spelling errors.

**Step 4.** Clicking the [Next] button moves the wizard to the SPL Result and Needs Summary screen.

**SPL Result and Needs Summary Screen**

This is a summary screen displaying the results determined for the individual by the Assessment Wizard based on the answers to the Four ADLs.
SPL Result and Needs Summary Screen Description:

1. **Navigation Tree** – displays the order of navigation in the Assessment Wizard and track progress (see the Navigation Tree section).
2. **Service Priority Level** – indicates the SPL identified by the answers to the Four ADLs.
3. **Need column** – displays the Needs associated with the Four ADLs.
4. **Level column** – displays the Assist Level for the individual as identified by the answers to the Four ADLs.
5. **Status column** – displays the information as entered by you on the Supports screen.
6. **Provider column** – displays the information as entered on the Supports screen.
7. **[Reset Sort] button** – used to reset the columns to the “logical” order that appears when this screen first opens (i.e. the order of the Navigation Tree). See note on next page.
8. **[Next] button** – used to save the information and move on to the Synopsis screen.
**NOTE:** All the columns in this screen are able to be sorted. See below.

### Column Sorting, Prior to sorting:

![SPL Result and Needs Summary](image)

- Click on one column heading (e.g. Need), this sorts the Need column alphabetically, ascending order.
Ascending Alphabetical Sorting:

- Click on the Need heading again, this sorts the Need column alphabetically, descending order.

Descending Alphabetical Sorting:
Click the [Reset Sort] button; this resets the column order in the same order as the Navigation Tree.

This functionality is the same for all the columns but is most effective for the Need and Level columns.

**Reviewing the SPL and Needs Summary screen**

The purpose of this screen is to review the results of the assessment wizard up to this point. If the Need Assist Levels are not accurate, use the Navigation Tree to go back to a question to review the answer. Any changes to an answer to a question, **MUST be followed** by clicking the [Next] button for that question in order to trigger any potential follow-up question(s) due to the change.

**NOTE:** Changing the answer(s) to any question(s), results in the Status and Provider information previously entered on the Supports screen being erased for the Need(s) affected. It is critical to navigate back to the Supports screen to enter any missing or new information.

Once satisfied with the results, click [Next], to reach the Decision Point screen.

**Decision Point, Four ADLs**

This Decision Point was placed at this point in the wizard to shorten the time previously required to determine eligibility (SPL 1 through 13). There are four options for next steps, described as follows:
Description of the Decision Point:

1. “Go To ADDITIONAL ADL/IADL” – Moves through the questions for the Additional ADLs, IADLs, and Sleep in order to complete a Full Assessment in the Assessment Wizard.

2. “ASSESSMENT COMPLETE - Go To SERVICE PLAN – NURSING FACILITY ONLY” – sets the assessment status to “Completed” and accesses the Service Planning screen to develop a Nursing Facility plan. Since only the Four ADLs have been completed, a Nursing Facility plan is all that is available.

3. “ASSESSMENT COMPLETE” – sets the assessment status to “Completed” and stops there, then navigate to the next desired action, such as Client Details or Service Planning. At this point only the Four ADLs have been completed so a Nursing Facility service plan is all that will be available. If the individual did not meet a qualifying SPL, then no other actions are required in CAPS.

4. “Go To SPPC – State Plan Personal Care” – leaves this assessment with a status of “Pending” and accesses the SPPC Assessment Wizard to complete a SPPC Assessment, the process for which is detailed in the SPPC Assessment Wizard section of this cookbook.

**Decisions to Make, Four ADLs**

When the Decision Point appears, consider what action needs to be taken next. It is possible that no action needs to be taken at this time. If that is so, close the wizard and open this assessment at a later time (see Right Click Functionality, Assessment Screen section of this cookbook). Closing the wizard at this point leaves the assessment in a “Pending” status.
Assessments left in this status for 60 days beyond the Assessment Date will automatically expire from the system.

“Assessment Complete” or “Assessment Complete - Go To Service Plan – Nursing Facility Only”

If a PAS assessment is being completed or a determination has been made that the individual is going to be in a Nursing Facility (long-term), the assessment status may be set to “Completed” at this point. There are two options shown below. Selecting the first of these two options reverts to the Assessment Status Overview screen. Client Details may be entered at this time and a service plan may be created at a later time. Selecting the second of these two options moves to the Service Planning screen to create a plan for a nursing facility ONLY.

**NOTE:** Setting the assessment status to “Completed” will lock the assessment, comments, and synopsis. After that, no changes are allowed to answers, comments, or the synopsis. If changes must be made, a new assessment will need to be created. In some circumstances, it may be possible for a manager to override the “Completed” status to set back to “Pending” for editing purposes.

**Pop-Up Window Message:**
Selecting either option, a pop-up window reminds that the assessment will be locked and that no further changes to answers, edits to comments or synopsis are allowed once the assessment is locked.

If you are sure you want to set the status of this assessment to “Completed”, click [Yes]. If you are not absolutely sure, click [No].

“Go to SPPC”:
If the individual being assessed wants to apply for State Plan Personal Care, select the fourth option. This option moves to the SPPC Assessment Wizard to answer questions to determine SPPC’s eligibility.

“Go To Additional ADLs/IADLs”:
To answer the Additional ADLs/IADLs and Sleep question (what is now referred to as a Full Assessment – not a Holistic assessment), select the first option. This option will stay in the Assessment Wizard and access through the remaining components of the Additional ADLs, IADLs and Sleep. This portion of the wizard is discussed in the Full Assessment: Additional ADLs/IADLs and Sleep section of this cookbook.

REMINDER: Setting the assessment status to “Completed”, is not sufficient for a Holistic assessment. Holistic assessments include Client Details information and a completed Service Plan, if the individual will receive services.

To create a Service Plan:

To complete a Nursing Facility Plan see the Service Planning Cookbook section: Four ADL Assessment Service Plan (Nursing Facility Plan)