NEW YORK STATE OF OPPORTUNITY. Department of Health	Division of Long Term Care

Manual Section: Policies and Procedures – Uniform Assessment System for New York (UAS-NY)	Policy Name: Conducting the UAS-NY Community and Pediatric Assessments	

Policy Number: 19.1	Issue Date: 1/29/2019	Page: 1 of 3

Prior Policy Number(s)	☐	

Applicable to: All Programs and Plans that Conduct the UAS Community Assessment, Pediatric Assessment 0-3, and Pediatric Assessment 4-17

(Check One)

☐	Office of Health Insurance Programs	*Area*	**New** (Date policy was created)	☒	
☐	**Division of Long Term Care: Uniform Assessment System for New York (UAS-NY)**	*Department*	**Reviewed** (No changes to policy)	☐	
			Revised (Content changes made to policy)	☐	
☐		*Staff*	**Repealed** (Policy is no longer active)	☐	
☐	**All Programs and Plans that Conduct the UAS Community Assessment, Pediatric Assessment 0-3, and Pediatric Assessment 4-17**	*Lines of Business and Applicable State(s)*	**Approval Date: 1/25/2019**	**Approved By:** **Lana Earle, Director** **Division of Long Term Care**	

Purpose

The purpose of this policy is to ensure that standard processes are followed for all assessments conducted in the Uniform Assessment System for New York (UAS-NY). New York State has policies, standards, and guidelines that govern the use of its information and resources. You are expected to read this document and conduct your assessment activities, accordingly.

Background

The UAS-NY web-based secure software application contains a suite of electronic assessment instruments for use with individuals being served within Medicaid home and community-based care services and programs governed by the Department of Health (DOH).

Summary of Applicable Procedures or Guidelines

As per DOH policies and guidance, all long term care programs and plans are required to conduct the UAS-NY Community Assessment and Pediatric Assessments using either the UAS-NY Online or Offline Applications.

The following are the only circumstances under which an assessment may be conducted by a Registered Nurse (assessor) or Social Worker (assessor) using the paper version of the assessment with their supervisor's approval:

- During times of unscheduled UAS-NY Online Application outages.
- When an assessor experiences an unexpected technical failure while conducting an assessment in a person's home or community-based environment.

When conducting the Community Assessment on paper, the RN Assessor must also conduct the Functional Supplement and Mental Health Supplement because it is unknown if either supplement is triggered. Paper versions of the assessments and supplements are posted in the UAS-NY Training Environment, <u>Course 8100: Instruments and Reference Manuals</u>.

Unscheduled Outage of the UAS-NY Online Application

If an assessor conducts an assessment on paper because of an unscheduled outage of the UAS-NY Online Application, they are required to enter responses recorded on the paper instrument into the UAS-NY application as soon as the system is back online. The assessor must document in the Comments for Next Assessment comment box in the Sign/Finalize node that the assessment was conducted on paper, the RN Supervisor authorizing the paper assessment and the reason it was necessary to conduct the assessment on paper.

Unexpected Technology Failure When Conducting an Assessment in the Individual's Home or Community-Based Environment

If the assessor conducts an assessment on paper because they experience an unexpected technical failure at the time of assessment, they must report the technical failure to their Information Technology (IT) Department, as well as their RN Supervisor, who must authorize the assessor to conduct the assessment on paper. Additionally, the assessor must document in the Comments for Next Assessment comment box in the Sign/Finalize node that the assessment was conducted on paper, the RN Supervisor authorizing the paper assessment and the reason it was necessary to conduct the assessment on paper.

Assessments conducted on paper should not be signed as they do not meet regulatory requirements for conducting and signing/finalizing an assessment. An assessment conducted on paper is only considered to be a valid assessment when the RN who conducted the assessment has entered responses recorded on the paper instrument into the UAS-NY Online Application (including supplements, as required) and has signed and finalized the assessment and assessment outcomes within the Online Application.

Completed paper assessments contain personally identifying information (PII) and protected health information (PHI). PII refers to information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual. PII includes but is not limited to: first and last name, CIN, Social Security number, date of birth, and address information. PHI refers to most individually identifiable health information held or transmitted by a covered entity or its business associate, in any form or medium, whether electronic, on paper, or oral.

Assessors must ensure that completed forms are secured against unauthorized or inappropriate access and securely destroyed/disposed of once the assessment has been entered into the UAS-NY Online Application. HIPAA requires shredding, burning, pulping, or pulverizing paper

records so that PHI is rendered essentially unreadable, indecipherable, and otherwise cannot be reconstructed.

The assessor who conducts an assessment on paper must enter the assessment information into the online record the same day the assessment was conducted. Additionally, the assessor must destroy/dispose of the paper assessment on the day that it was conducted, if the assessor has the ability to do so in their home with their organization's approval. If the assessor is unable to destroy/dispose of the paper assessment in their home, they must secure the paper assessment and bring it to the nearest designated work location as directed by the assessor's organization within 24 hours of conducting the assessment to destroy/dispose of the paper assessment.

NEW YORK STATE OF OPPORTUNITY. Department of Health			Division of Long Term Care		
Manual Section: Policies and Procedures – Uniform Assessment System for New York (UAS-NY)			**Policy Name:** Organization Case List Management Policy for the Uniform Assessment System for New York (UAS-NY): Community Assessment, Pediatric Assessment 0-3, and Pediatric Assessment 4-17		
Policy Number: UAS-NY.19.2			**Issue Date:** 1/29/2019		**Page:** 1 of 3
Prior Policy Number(s)		☐			
Applicable to: All Community Assessment, Pediatric Assessment 0-3, and Pediatric Assessment 4-17 Users			**(Check One)**		
☐	**Office of Health Insurance Programs**	*Area*	**New** (Date policy was created)	☒	
☐	**Division of Long Term Care: Uniform Assessment System for New York (UAS-NY)**	*Department*	**Reviewed** (No changes to policy)	☐	
			Revised (Content changes made to policy)	☐	
☐		*Staff*	**Repealed** (Policy is no longer active)	☐	
☐	**All Community Assessment, Pediatric Assessment 0-3, and Pediatric Assessment 4-17 Users**	*Lines of Business and Applicable State(s)*	**Approval Date: 1/25/2019**	**Approved By:** Lana Earle, Director **Division of Long Term Care**	

Purpose

The purpose of this policy is to ensure that standard processes are followed for all assessments conducted in the Uniform Assessment System for New York (UAS-NY). New York State has policies, standards, and guidelines that govern the use of its information and resources. You are expected to read this document and conduct your assessment activities, accordingly.

Background

The UAS-NY web-based secure software application, owned and operated by the NYS Department of Health (DOH), contains a suite of electronic assessment instruments for individuals being served in a number of New York State programs under the oversight of various NYS Agencies.

Summary of Applicable Procedures or Guidelines

All organizations that access the UAS-NY for the purpose of conducting the UAS Community Assessment or Pediatric Assessments or to review associated data are required to build and accurately maintain a case list. The subset of UAS-NY case file records that your organization

has a legitimate business need to access comprise your organization's case list. Organizations are required to attest to a legitimate business need to access individual UAS records and when that legitimate business need no longer exists, organizations must ensure that business processes are in place so that programs and plans remain compliant with HIPAA, HITECH, and state and federal privacy laws.

To maintain accurate case lists, all organizations must, at minimum, ensure a monthly business process exists to identify and remediate the following:

- **Organization Incorrectly Attests to the Wrong Person Record, One Which the Organization has No Legitimate Business Need to Access**
  - The organization must immediately remove the record from their organization's case list.
- **Organization No Longer Has a Legitimate Business Need to Access an Individual's Record**
  - The organization must remove records from its organization's case list for which it does not have a legitimate business need to access. (See UAS-NY 18.4.1 Organization and Individual Responsibilities Associated with Using the UAS-NY Policy for the definition of 'Legitimate Business Need')

Additionally, enrolling programs and plans (Managed Long Term Care and Managed Care Plans, Adult Day Health Care Programs, Assisted Living Programs, Local Districts of Social Services, and Regional Resource Development Centers) are required to maintain accurate enrollments and disenrollments in member records.

- **Active Enrollment in an Individual's Record for Your Organization, With No Corresponding Assessment**
  - If your organization has enrolled, billed and/or care planned for a member and there is no current, valid assessment for that enrollment period, then your organization should dispatch a nurse immediately to conduct a valid assessment and assessment outcomes. Documentation should be included explaining the circumstances for the late assessment.
- **Individual Records with Missing Enrollments**
  - If your organization does not have a business need to access an individual record, as stated above, it must be removed from the organization's case list.
- **Individual is No Longer Enrolled in an Organization's Program or Plan**
  - The organization must document the disenrollment and remove the record from their organization's case list. Removing a record from the case list end dates the attestation; simply recording a disenrollment does not remove a record from your organization's case list.

There are courses in the UAS-NY Training Environment that support user understanding of key concepts associated with appropriately maintaining your organization's case list: Course 1200 Managing Your Organization's Case List, 1250 Indicating a Program or Plan Enrollment, 2200 Creating a New Case File Record and Course 1025 Working with Demographic Information.

If you are unable to resolve any of the issues identified, contact the UAS-NY Support Desk at (518) 408-1021; email notifications will not be accepted. The UAS-NY Support Desk will work with the user (and their supervisor, if necessary) to resolve the reported issue(s). Failure to

accurately maintain your organization's case list poses a serious security issue and may result in corrective action taken at the discretion of the NYS Department of Health.