

Override Functions and Processes

There are three levels of security for CAPS Assessments & Service plans:

- ▶ **Tier 1** – Case manager
- ▶ **Tier 2** – SPD/AAA Local Office management, supervisor and/or lead worker override (User group: CAPS2 Asmt Stat Admin Act)
- ▶ **Tier 3** – SPD Central Office override

Assessment Status Definitions:

Administrative: An assessment that has been set to Administrative status for the purpose of adding an additional service Benefit with dates beyond the assessment's Valid Until Date.

NOTE: The Administrative status will not have any affect on Service Planning unless one of these three Status Reasons is selected with it:

1. **Untimely Reassessment (late review)** – will allow Benefits to be created and effective through the end of the month immediately following the assessment's Valid Until Date. If necessary, Central Office (Tier 3 users) can create additional Benefits for a period of up to three months (to the end of the month) past the assessment's Valid Until Date.
2. **To Provide Adequate Notice (10 day notice)** – will allow Benefits to be created and effective through the end of the month immediately following the assessment's Valid Until Date. If necessary, Central Office (Tier 3 users) can create additional Benefits for a period of up to three months (to the end of the month) past the assessment's Valid Until Date.
3. **For Hearing/APP (Aid Paid Pending)** – will allow Benefits to be created and effective for a period of up to six months past the assessment's Valid Until Date. If necessary, Central Office (Tier 3 users) can create additional Benefits for a period of up to twelve months (to the end of the month) past the assessment's Valid Until Date.

Override Functions and Processes

Completed: An assessment that has been set to Completed status. This is only done through one of the Decision Point windows in the wizards.

Automatic Batch process: The status of an assessment left Completed for 90 days, without an associated benefit, will be changed to Invalid by the nightly batch process.

Incomplete: An assessment that is Incomplete is defined as an assessment that has not been completed or has been withdrawn.

Automatic Batch process: The status of an assessment left Pending for more than 60 days will be changed to Incomplete by the nightly batch process.

Invalid: An assessment that has been Completed, with pending or no Benefits, that has been determined to be no longer valid.

Automatic Batch process: The status of an assessment left Completed for more than 90 days, without an associated benefit, will be changed to Invalid by the nightly batch process.

Pending: An assessment that has been started but has not been completed.

Automatic Batch process: The status of an assessment left Pending for more than 60 days will be changed to Incomplete by the nightly batch process.

Other Miscellaneous Assessment Definitions:

Status Reason Field:

This field is used to select a pre-defined reason for the current Assessment Status. Whenever the Assessment Status is changed, this field is cleared and will need to be re-entered – if appropriate.

Details Field:

This field is used to document any additional information needed to explain the change to the Assessment Status field. This field is **not** cleared when the status is changed and does not lock. Information can be added to this field at any time and previous information that is typed over will not be saved. **Please be careful when entering information here.**

Override Functions and Processes

Assessment Overrides:

The following chart of Assessment Status changes shows what the system will allow **Tier 2 staff to do in both types of wizards**. Please note the specific conditions.

Tier 2 Override Functions and Conditions		
From	To	Conditions
Completed	Pending	<u>Not allowed if there is a Pending, Approved, or Ended service Benefit associated with the assessment. Any Benefits will need to be Invalidated before the Pending option will appear in the Assessment Status drop down list.</u>
Completed	Administrative	This should only be done around the time the assessment's Valid Until Date is expiring and ONLY for one of these reasons: 1) Untimely Reassessment (late review) 2) To Provide Adequate Notice (10 day notice) 3) For Hearing / APP (Aid Paid Pending). See Definitions for more information.
Completed	Invalid	<u>Not allowed if there is an Approved or Ended Benefit associated with the assessment. Approved or Ended Benefits will need to be Invalidated before the Invalid option will appear in the Assessment Status drop down list.</u> Pending Benefits do not need to be Invalidated before changing the status. However, it is recommended.
Incomplete	Pending	Changing an incomplete assessment back to pending status is usually done because the assessment status was changed from pending to incomplete after 60 days through the nightly batch process. Before changing the assessment to pending status, ensure all eligibility rule criteria support potential changes made to the pending assessment.
Invalid	Completed	The intention behind allowing this change is to correct a worker inadvertently setting the assessment status to invalid or because the

Override Functions and Processes

Tier 2 Override Functions and Conditions		
From	To	Conditions
		assessment status was changed to invalid after 90 days through the nightly batch process. Before changing the assessment to completed status, ensure all eligibility rule criteria support this change.
Invalid	Administrative	The intention behind allowing this change is to correct a worker inadvertently setting the assessment status to invalid. Before changing the assessment status to administrative, ensure all eligibility rule criteria support this change.
Pending	Incomplete	The worker may change an assessment status from pending to incomplete if the assessment wasn't completed. The nightly batch process will automatically do this 60 days after the Assessment Date.

Additional Tips and Scenarios:

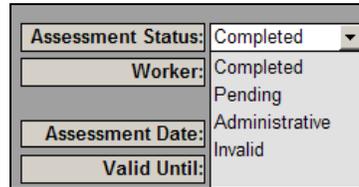
Changing an Assessment from Completed to Pending Status:

Scenario #1: A Tier 1 staff (case manager) has set the assessment to Completed status after the 4 ADL portion, but needs to complete a Full Assessment.

1. **All service Benefits associated with the assessment will need to be Invalidated before continuing.**
 - ▶ The case manager can invalidate a Pending Benefit. An SPD/AAA Tier 2 staff person must invalidate any Approved or Ended Benefits associated with the assessment.
2. If there are no Benefits, or they have been made Invalid, the Tier 2 staff person must log into Oregon ACCESS as him/her self, open the case, and go to Assessments from the CAPS Menu window.
3. Select the assessment needing to be changed by right clicking on the heading for that assessment in the Navigation Tree and select Edit from the drop down menu.

Override Functions and Processes

- Once on the Assessment Wizard – Supports Update screen for the assessment, click in the Assessment Status field. This field will have the word “Completed” in it.



Assessment Status:	Completed
Worker:	Completed
Assessment Date:	Pending
Valid Until:	Administrative
	Invalid

- A drop down list will appear:
 - Select Pending from drop down list. The wizard will close and reopen automatically (this may take several seconds) with the questions enabled.
- If needed, use the Details field to document why this action was taken.
 - Once the wizard has reopened, close the wizard, then close the case and have the case manager go back into it and finish his/her assessment.

Scenario #2: A Tier 1 staff (case manager) has set the assessment to Completed with an incorrect Assessment Date.

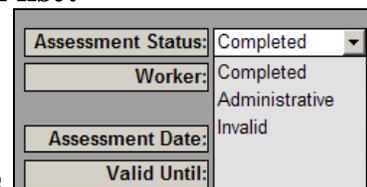
- Follow steps 1 through 5 above.
- Once the wizard has reopened, either the Tier 1 or Tier 2 staff person (case manager or manager) can change the Assessment Date to the correct date.

NOTE: The Assessment Date can be up to 31 days prior to the date the assessment was created in the wizard. **See the CAPS 2 Dates Information for more details about this date.**

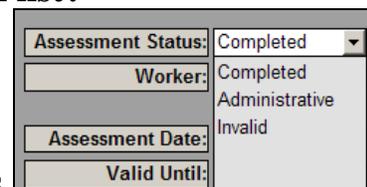
Scenario #3: A Tier 1 staff (case manager) has set the assessment to Completed but needs to change the answers or comments in the assessment.

- Follow steps 1 through 6 in Scenario #1 above.

What if Pending is not in the drop down list?

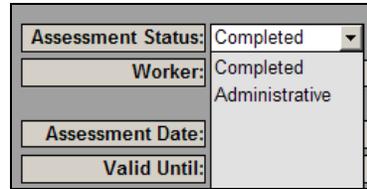


Assessment Status:	Completed
Worker:	Completed
Assessment Date:	Administrative
Valid Until:	Invalid

- ▶ If the status drop down looks like this , there is a Pending service Benefit that must be invalidated **before** the assessment status can be changed to Pending. The case manager can invalidate a Pending Benefit.

Override Functions and Processes

Assessment Status:	Completed
Worker:	Completed Administrative
Assessment Date:	
Valid Until:	

- ▶ If the status drop down looks like this , there is an Approved or Ended service Benefit associated with the assessment. Before the assessment status can be changed to Pending, any Approved or Ended service Benefit must be invalidated. Benefits can be invalidated by the case manager **IF** the Begin Date is a future date. An SPD/AAA Tier 2 staff person must invalidate any Approved or Ended Benefit when the Begin Date is the current date or a date in the past.

Changing an Assessment from Completed to Administrative Status:

Scenario #1: The assessment Valid Until Date has expired (or is about to expire) because a Tier 1 staff (case manager) is late performing the annual reassessment.

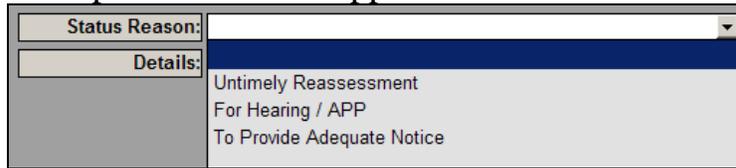
1. An SPD/AAA Tier 2 staff person must log into Oregon ACCESS as him/her self, open the case, and go to Assessments from the CAPS Menu window.
2. Select the assessment that is about to or has past the Valid Until Date by right clicking on the heading in the Navigation Tree for this assessment and select Edit from the drop down menu.
3. Once on the Assessment Wizard – Supports Update screen for the assessment, click in the Assessment Status field. This field will have the word “Completed” in it.

Assessment Status:	Completed
Worker:	Completed Administrative
Assessment Date:	
Valid Until:	

- a. A drop down list will appear:
 - b. Note: More options may appear in the drop down list.
4. Select Administrative from the drop down list.
 - a. **The Assessment Status field will become disabled immediately, so only do this if you are certain this is the action that needs to be taken.** If the Tier 2 staff person changes the assessment to Administrative Status in error, the status can only be changed back to Completed Status by a Tier 3 (Central Office) staff person.

Override Functions and Processes

5. Click into the Status Reason field.
 - a. A drop down list will appear:



Status Reason:	▼
Details:	Untimely Reassessment For Hearing / APP To Provide Adequate Notice

6. Select Untimely Reassessment.
7. If needed, use the Details field to document why this action was taken.
8. Close the wizard, then close the case and have the case manager go into Service Planning for this assessment and create a new service Benefit effective through the end of the month immediately following the assessment's Valid Until Date. Modeling can be used to copy the previous Hours Segment and Plan.

Scenario #2: A Tier 1 (case manager) completed the reassessment which resulted in a reduction in Benefits and it is after the cut-off date to send out a 10 Day Notice.

1. Follow the steps from Scenario #1 above EXCEPT:
 - a. On step 6, select To Provide Adequate Notice.

Scenario #3: A Tier 1 (case manager) completed the reassessment but Benefits are being reduced or closed and the client has asked for a hearing.

1. Follow the steps from Scenario #1 above EXCEPT:
 - a. On step 6, select For Hearing / APP.
 - b. On step 8, have the case manager go into Service Planning for this assessment and create a new service Benefit effective through the end of the month or up to six months following the assessment's Valid Until Date.

Note: When an assessment is changed to Administrative status, the Status Reason selected determines the maximum length of time the services can be extended. Based on the Status Reason selected, the system will automatically carry a record over to the Benefit Eligibility and Service Planning screen. This record will display the maximum allowable date of either a one or six month extension. This is displayed at the top, right side of this service screen and will read 'Admin End Date: 00/00/2011'

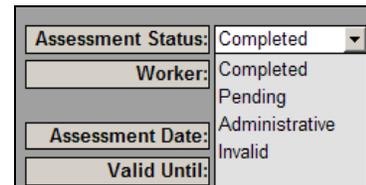
Override Functions and Processes

Changing an Assessment from Completed to Invalid Status:

Scenario #1: A Tier 1 staff (case manager) has set the assessment to Completed but has since determined that it is Invalid.

NOTE: Once all benefits are invalidated, this process can be performed entirely by the case manager.

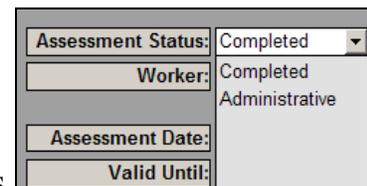
1. **All Benefits (see #2 below for exception) will need to be Invalidated before continuing.**
2. If there is a Pending Benefit associated with the assessment, the status of the assessment can still be changed to Invalid without Invalidating the Pending Benefit. However, **it is recommended that the case manager Invalidate the Pending benefit.**
3. Once all benefits have been invalidated, or if there are no benefits, the case manager may change the assessment status by opening the case and going to Assessments from the CAPS Menu window.
4. Select the assessment to be Invalidated by right clicking on the heading for that assessment in the Navigation Tree and select Edit from the drop down menu.
5. Once on the Assessment Wizard – Supports Update screen for the assessment, click in the Assessment Status field. This field will have the word “Completed” in it.



Assessment Status:	Completed
Worker:	Completed
Assessment Date:	Pending
Valid Until:	Administrative
	Invalid

- a. A drop down list will appear:
- b. Select Invalid from the drop down list.
- c. Note: If the Pending option is not in the list there is a pending benefit associated with the assessment that should be invalidated before continuing.

What if Invalid is not in the drop down list?



Assessment Status:	Completed
Worker:	Completed
Assessment Date:	Administrative
Valid Until:	

- If the status drop down looks like this, there is an Approved or Ended Benefit associated with the assessment.

Override Functions and Processes

Before the assessment status can be changed to Invalid, any Approved or Ended service Benefits must be invalidated. Benefits can be invalidated by the case manager **IF** the Begin Date is a future date. An SPD/AAA Tier 2 staff person must invalidate any Approved or Ended Benefit when the Begin Date is the current date or a date in the past.

6. Select an appropriate reason from the Status Reason drop down list:

Status Reason:	<input type="text"/>
Details:	Did Not Meet Application Timeframe Client Withdrew Request

7. If needed, use the Details field to document why this action was taken.
8. Close the wizard.

Changing an Assessment from Invalid to Completed Status:

Scenario #1: The assessment was inadvertently set to Invalid from Completed status. The intention behind allowing this change is to correct a worker inadvertently setting the status to Invalid.

1. Before changing the assessment to Completed status, ensure all eligibility rule criteria support this change.
2. An SPD/AAA Tier 2 staff person must log into Oregon ACCESS as him/her self, open the case, and go to Assessments from the CAPS Menu window.
3. Select the Invalid assessment by right clicking on the heading in the Navigation Tree for this assessment and select Edit from the drop down menu.
4. Once on the Assessment Wizard – Supports Update screen for the assessment, click in the Assessment Status field. This field will have the word “Invalid” in it.

Assessment Status:	Invalid
Worker:	Completed Administrative Invalid
Assessment Date:	
Valid Until:	

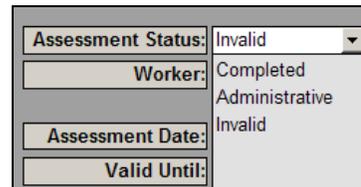
- a. A drop down list will appear:
5. Select Completed from the drop down list.
 6. If needed, use the Details field to document why this action was taken.
 7. Close the wizard, then close the case and have the case manager go into Service Planning and create the Benefit needing to be created.

Override Functions and Processes

Changing an Assessment from Invalid to Administrative Status:

Scenario #1: The assessment was inadvertently changed from Completed to Invalid status when the intention was to set the status to Administrative.

1. Before changing the assessment to Administrative status, ensure all eligibility rule criteria support this change.
2. An SPD/AAA Tier 2 staff person must log into Oregon ACCESS as him/her self, open the case, and go to Assessments from the CAPS Menu window.
3. Select the Invalid assessment by right clicking on the heading in the Navigation Tree for this assessment and select Edit from the drop down menu.
4. Once on the Assessment Wizard – Supports Update screen for the assessment, click in the Assessment Status field. This field will have the word “Invalid” in it.



Assessment Status:	Invalid
Worker:	Completed Administrative Invalid
Assessment Date:	Invalid
Valid Until:	

- a. A drop down list will appear:
5. Select Administrative from the drop down list.
 6. Select the appropriate Status Reason.
 7. If needed, use the Details field to document why this action was taken.
 8. Close the wizard, then close the case and have the case manager go into Service Planning and create the needed Benefit. Be sure he/she follows the rules noted in the Definition section for Administrative status.

Service Benefit Overrides:

Benefit Begin Date:

- ▶ Workers can **create** a pending Benefit with a begin date more than 31 days prior to the Assessment Date. Only Tier 3 staff (Central Office) are able to **approve** this type of Benefit.
- ▶ The following are examples of when Central Office gets a case with an assessment in Completed status and the Benefit begin date is more than 31 days prior to the date of the Assessment Date.

Override Functions and Processes

There are three general scenarios:

1. There is no Benefit in Service Planning. The worker should create a pending Benefit with the desired date range. Central Office will approve the Benefit. The worker can then continue with service planning.
2. There is a Pending Benefit with an incorrect begin date. The worker should correct the begin date. Central Office will approve the Benefit. The worker can then continue with service planning.
3. There is an Approved Benefit with an incorrect Begin Date. The worker should create a pending Benefit with the desired date range. If this benefit will “fill in a gap”, the date range would be the new (correct) begin date and an end date of the day before the begin date of the Approved Benefit. Central Office will approve the Benefit. The worker can then continue with service planning (using modeling if appropriate).

NOTE: A Benefit in Approved or Ended status can be invalidated but **cannot** be edited.

For more information on what can and should be done with Benefit dates in specific situations, please see the CAPS 2 Dates Information document.

Invalidating a Benefit:

- ▶ **Tier 1** (case manager) staff can invalidate a service benefit as follows:
 1. When the benefit is in pending status
 2. When the benefit is approved with a begin date in the future
- ▶ **Tier 2** SPD/AAA local office staff can invalidate any service benefits, regardless of the benefit begin date. This includes benefits that are pending, approved or ended with a past, current or future Begin Date.

Hours Segment Overrides:

Hours Segment information is not sent to the Mainframe (i.e. not used for SELG records). Unless there are exception hours authorized in an Hours Segment, any mistakes can be corrected by Tier 1 staff (case manager) by invalidating the segment

Override Functions and Processes

or by adjusting the start/end date. Care should be used before invalidating an Hours Segment that is started in the past, as payments may have gone out based on that information.

The following are the Hours Segment parameters for Tier 1, 2 and 3 users:

- ▶ **Tier 1** is used by the case manager for approval of hours, up to the maximum assessed hours, by **NEED**. This is according to OAR 411-030-0070(1 through 8).

Users in this group can:

1. Approve an Hours Segment that contains up to the maximum assessed hours by **NEED**. This can be done while the benefit is in Approved status only.
 2. Invalidate an Hours Segment that contains up to the maximum assessed hours by need or without any limit if the Hours Segment has a future effective begin date
 3. End any Hours Segment with any allowed or exception hours amount.
 4. Adjust the begin date of the Hours Segment forward when the segment is already in approved or ended status.
- ▶ **Tier 2** is used by the SPD/AAA local office managers, supervisors & usually lead workers for approval of hours, including exceptions to the maximum hours of **SERVICES** based on the limits established in OAR 411-030-0070(9).

Users in this group can:

1. Approve allowed and exception hours up to the local office limit. This group can approve the Hours Segment while the Benefit is in Approved or Ended status.

Tier 2 Local Office LIMITS - hours cannot exceed the following:

- 145 - Total of all ADL hours combined**
 - 85 - Total of all IADL hours combined**
 - 159 - Total maximum of 24 Hour Availability hours**
2. Invalidate an Hours Segment with exception hours up to the local office limit or without any limit if the Hours Segment has a future effective begin date.
 3. Deny any Hours Segment.
 4. End any Hours Segment.

Override Functions and Processes

5. Adjust the begin date of an Hours Segment forward when the segment is already in approved or ended status.
- ▶ **Tier 3** is used for Central Office approval of exception hours that exceed the Tier 2 local office limits.

Users in this group can:

1. Approve exception hours without any limit. This can be done while the Benefit is in Pending, Approved or Ended status.
2. Invalidate any Hours Segment.
3. Deny any Hours Segment.
4. End any Hours Segment.
5. Adjust the begin date of the Hours Segment forward when the segment is already in approved or ended status.

Plan Overrides:

- ▶ Since Plan (bottom section of Service Planning screen) information is not sent to the mainframe (i.e. not used for the SELG records), any mistakes on a Plan can be corrected by the case manager.
- ▶ The case manager can invalidate individual services on Pending Plans and can invalidate a plan at any time, even after it has been Approved. However, the worker must be very cautious when invalidating Plans with a begin date in the past as payments may have gone out with that information. The worker should only Invalidate Plans with a begin date in the past as a means of correcting a mistake.