Section 2.6 UAI and AUAI Process

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2.6 Uniform Assessment Instrument and Abbreviated Uniform Assessment Instrument Process

2.6.1 Purpose

The Uniform Assessment Instrument (SS-005) and the Abbreviated Uniform Assessment Instrument (SS-003) are required to achieve consistency in the assessment process and data collection, to efficiently and effectively determine eligibility and manage services and programs, to provide the most equitable system to customers, and to collect required data for funding source reporting. Consult the Aging Taxonomy for the service definition of assessment and related funding sources.

2.6.2 Uniform Assessment Instrument (UAI) and Abbreviated Uniform Assessment Instrument (AUAI) Requirements

A. As specified in Section 2.7.3, only persons that are qualified, trained and certified may conduct the Full UAI or Abbreviated UAI.

B. Full UAI Requirements

1. The Full UAI is required for all services under the following funding sources and programs:
   
   a. Home and Community Based Services/ Frail Elderly Waiver (HCBS/FE)
   b. Senior Care Act (SCA)
   c. Expedited Service Delivery (ESD)

2. The Full UAI is required for the following services listed with funding source(s):

   a. Adult Day Care/Adult Day Health
      ● Older Americans Act (OAA) III B

   b. Assessment
      ● OAA III B
      ● TCMSGF

   c. Attendant/Personal Care
      ● OAA III B

   d. Case Management
      ● TCM
      ● OAA III B

   e. Homemaker
      ● OAA III B
C. Abbreviated Uniform Assessment Instrument (AUAI) Requirements

An Abbreviated UAI is required for the following services listed with funding source:

1. Assessment
   • OAA III B
   • OAA III C2

2. Chore
   • OAA III B

3. Home Delivered Meals
   • OAA III C2

4. Nutrition Counseling (for Home-Delivered Meals customers)
   • OAA III C2

D. UAIs must be completed in accordance with the most current UAI Instruction Manual.

E. The most comprehensive assessment or registration required for the services must be used.

F. All programs, providers, and Area Agencies on Aging (AAAs)/Case Management Entities (CMEs) must accept other programs’, providers’, or AAAs’/CMEs’ assessments, as long as each assessment meets the timeframe according to Section 2.6.2.L, and is complete and comprehensive enough to cover the service(s) provided.

G. AAAs/CMEs and service providers must develop and implement a written policy and procedure to ensure non-duplication of customer assessment and registration.

H. The assessment must be customer driven, and must not be conducted against the wishes of the customer.

I. If a customer refuses to participate in an assessment to the extent that his or her eligibility for a program or service cannot be determined and there is no designated person to act on the customer’s behalf, he or she cannot receive services. (See program eligibility criteria.) The reason the customer refused to answer assessment questions must be documented in the comments section of the UAI.

J. If a laptop computer is used while conducting an assessment in a customer's home, the customer's electricity must not be used to power the computer unless approved by the customer. The customer’s phone line may only be used if the cost is not charged to him or her.
K. The Kansas Department on Aging (KDOA) will not pay for meals or services that are provided to customers who have not been determined eligible for the program or service. A customer is considered eligible if he or she has had an assessment and has been found eligible for the program or service.

L. Timeframe Requirements:

1. The assessment must be completed within six (6) working days of the date the Standard Intake Information Form was completed or ES3160 received from the Kansas Department of Social and Rehabilitation Services (SRS), with the following exceptions:
   a. A waiting list exists for the services the customer requested and the customer is not interested in exploring other options;
   b. The customer or his/her family requests the assessment be postponed; or
   c. The customer cannot be reached, which is documented in the file.

2. For up to six (6) working days, a AAA or nutrition provider may opt to serve Home Delivered Meals to a person whose eligibility has not been determined on the Abbreviated UAI. KDOA will not pay or reimburse for home delivered meals that are provided to customers determined ineligible. The AAA or nutrition provider must ensure that OAA program-related funds are not used to provide services to ineligible persons, either prior to and/or after ineligibility has been determined on the Abbreviated Assessment.

3. Assessments are valid up to 365 days unless there has been a significant change. (See Section 1.1 for the significant change definition.) Instances that would allow the reassessment to be completed later than 365 days would include the following:
   a. Hospitalization and the customer is unable to participate in the assessment;
   b. Planned brief stay in a nursing facility; or
   c. Admitted to a rehabilitation facility.

   In these instances, the reassessment and data entry must be completed the week preceding discharge or no later than three (3) working days after discharge or notification that discharge has occurred.

4. To initiate the KDOA automated billing process each month, data entry of all required forms such as, but not limited to, UAI, AUAI, Uniform Program Registrations (UPRs), Caregiver Assessment Plans (CAPs) and plans of care (POCs), must be completed on or before:
   a. The 15th of the month for TCMSGF and ESD; and
   b. The 24th of the month for SCA and OAA funded services.