

# California Department of Aging (CDA)

## Minutes and Questions from CARS Webinar

### CARS NAPISCare Tool Training and Changes for FY 2010-11

September 8, 2010

**CDA Participants:** Denise Crandall, Tim Henry, Van Nguyen, Mame Polito and Lilit Tovmasian

**AAAs Present:** 1-33

**Technical Support Providers/Software Vendors:** Care Access, Harmony, RTZ Associates

#### Welcoming Comments/Introductions

#### Review of Agenda

#### Modification in CARS for FY 2010-11

- RTZ has made changes in CARS given the recent modifications to the CARS File Specifications which became effective on July 1, 2010.
- CDA demonstrated these modifications by going through the File Upload Manager Module which AAAs use to upload quarterly data.
- The AAAs that submitted test files should be familiar with these changes. AAAs may still submit test files throughout September.
- The test environment is in place to ensure changes implemented in the AAA local systems meet the requirements in the revised CARS File Specifications and allow them to review that all data is imported accurately into CARS.
- As in prior years, AAAs should be reviewing the enrollments, service units, and demographic data in CARS with each submission. AAAs should have the ability in their in-house systems to pull up similar reports in order to compare the accuracy of the data between CARS and their local database.
- CDA will be working with AAAs to correct technical issues with everyone's data in FY 2010-11 as much as possible.
- This will allow AAAs and CDA to move away from technical data comparison to improving the quality of data.
- Overview of changes in File Upload Manager in CARS (*CDA used a test file provided by RTZ Associates to demonstrate the changes indicated below*).
  - **Changes in the "Service Summary" screen**
    - Added all "Other" service categories (since these are non-registered services, AAAs can also manually enter data; for FY 2010-11 AAAs are

required to report service units for each quarter, and it is optional for AAAs to report estimated clients served in each service category at the end of the year; as before, AAAs must re-enter service units in each CARS submission).

- It is highly encouraged to start submitting your estimated client count since CDA will be implementing this requirement in FY 2011-12 to comply with AoA requirements. Refer to the Data Dictionary for definitions and unit measures.
- Moved “Unduplicated Persons Served” section underneath “Other” services to minimize erroneous reporting of caregivers in this section. This section must contain only those clients who were served by IIIB, C, D or VIIB funds.
- Merged several sub-categories for Supplemental Services in FCSP into other Supplemental Services sub-categories or Support Services sub-categories.
  - AAAs no longer have the option to report separately for Caregiver Financial Consultation and Care Receiver Placement and are to report these under **Support Services -Caregiver Counseling**.
  - AAAs also no longer have to option to report separately for Caregiving Congregate Meals, Caregiving Home-Delivered Meals, and Caregiver Transportation and are to report these under **Supplemental Services- Caregiving Emergency Cash/Material Aid**.
  - The Supplemental Services sub-category, Legal Assistance was slightly revised and moved to **Access Assistance, sub-category Caregiver Legal Resources** and is now a non-registered service.
  - Please refer to PM 10-07 ([http://www.cda.ca.gov/PM/PM\\_index.asp](http://www.cda.ca.gov/PM/PM_index.asp)) for details on this or contact the FCSP Program Specialist at CDA – Donna DiMinico at 916- 928-2295).
- Although FCSP was already separated by each service component in the Service Summary display for FY 2009-10 (meaning, between Caregivers Caring for Elderly v. Grandparents Caring for Children), CDA made changes in CARS Specifications to more accurately capture data for FCSP by requiring that AAAs assign a unique Service ID to each service category for the “Caregivers Caring for Elderly” and “Grandparents Caring for Children” services.
- For FCSP non-registered service categories, the estimated client count is an AoA requirement and needs to be included in the quarterly submissions.

- **Changes in “Demographic Summary” screens**
  - Added “decline to state” to most other fields (e.g. gender, nutritional risk, ADLs/IADLs).
  - Expanded ADL/IADL detail summary to display all reporting options [before only displaying 1 (independent), 3 (some assistance), 5 (dependent) and missing].
  
- **How this affected AAAs:**
  - Needed changes to local software systems by July 1, 2010 (based on conversations with Care Access, Harmony and RTZ (for Getcare sites) these changes were in place by July 1. CDA will be discussing the implementation progress with those AAAs who have their own unique internal systems on an individual basis.
  - AAAs may need to create new service categories (i.e. “other” services and FCSP) and ensure they are mapped accurately when importing this data to CARS
  - AAAs needed to make changes to their intake sheets/assessments. If any AAA would like for the Data Team to review their revised intake sheets, they may send a copy to the data team at [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov).
  - AAAs must ensure providers are aware of these changes and are using appropriate intake sheets, and are recording services in appropriate service categories when collecting and inputting data.
  
- New for FY 2010-11 are the “CARS Quarterly Error Reports” that RTZ will send to each AAA with their quarterly file submissions (AAAs who have submitted test files have also received these reports).
- CDA emailed a copy of these reports to AAA Directors and MIS Analysts a few months ago.
- CDA and RTZ developed this report to identify whether the submitted files have met CARS File Specifications requirements and, if not, how the AAA file submissions were affected. The report lists all required data fields in the same order they are in the current CARS File Specifications.
- The report will inform AAAs in which file the error has occurred, identify the specific field that is affected, and why the error has occurred.
- The report will also identify whether the error has resulted in a warning, deletion of a record, or failed files (a key is included at the end of the document that provides an explanation for each result).
- Finally, it will identify how many records the error affects.

- It is another mechanism in assisting AAAs to identify errors in their CARS export files and to correct them throughout the year.
- Example: reviewed first required field in the Client/Caregiver File, which is the Participant ID field in the CARS File Specifications.
- AAAs should share this report with their technical support providers to interpret these errors and make system corrections if needed.
- Based on the current Specification requirements, AAAs must report client, caregiver, and care receiver “Participant IDs” in this file, therefore, as the error message reads, “Client, Caregiver, Care Receiver Participant ID: Cannot be blank.”
- In other words, the AAA has submitted this file with unacceptable null or blank fields. As a result, the record was discarded.
- The next column identifies how many records this error affected. When referencing the key at the bottom of the document, the explanation for discarding a record is that “These errors are generally relational in nature, meaning, if those ties are broken, the data cannot be linked appropriately. The result is that these records are disregarded from calculations. The AAA should investigate these errors and correct them with their next submission. Note: Starting with FY 2011-12 submissions, all "record discarded" results will receive a "fail" notification.” This means that unless these errors are fixed, the AAA submission will be considered incomplete.
- In this particular example, if a AAA did not provide a “Participant ID” it is impossible to link service units or other required information to this individual.
- CARS also as a general rule discards all client records that do not have service units tied to them for that reporting period.
- AAAs will receive these reports after they submit their quarterly files in CARS. In addition to sending the standard notification email AAAs receive from RTZ when their quarterly files are ready for review, they will receive a copy of the error report. A copy will also be sent to the Data Team at CDA.
- **DUE DATE:** The first submission in CARS for FY 2010-11 is **due by October 30.**
- If you have any questions regarding navigating through the revised screens, or understanding the CARS Quarterly Error Reports, contact the CDA Data Team or RTZ Associates for assistance (*please refer to page 13 of this document for further guidance on how to reference the error reports to identify and correct errors*).

**Q & A Session** (*See Q & A Section below for responses to questions from audience*)

### **NAPISCare Demonstration for FY 2009-10**

- NAPISCare is a tool that AAAs use to report annual NAPIS SPR data to CDA. AAAs began using this tool in FY 2008-09. CDA then reports the Statewide totals to the Administration on Aging. The data in NAPISCare is populated from 4<sup>th</sup> submission File Upload Manager data in CARS. This is the reason why CDA asks AAAs review their 4<sup>th</sup>

submission reports in detail and submit corrected reports that reflect accurate performance before validating their reports in NAPISCare (*CDA used a test file provided by RTZ Associates to demonstrate the changes indicated below. AAAs will have access to all sections below as they are described*).

- Described the filtering options
- Suggested AAAs use the blank copy of the NAPIS SPR to make notes on
- **Section IA (some AAA modification to this section is required)**
  1. AAAs must report all clients served in registered services (automatically populated from File Upload Manager; AAAs should not be modifying this line)
  2. AAAs must report all clients served in non-registered services (automatically populated from File Upload Manager if AAA imported this total in the Unduplicated Clients Served section, if not, it will have to be manually adjusted).
  3. AAAs must report all clients served in non-registered and registered services combined (automatically populated from File Upload Manager if AAA imported this total in the Unduplicated Clients Served section, if not, will have to be manually adjusted).

**Note:** (1) do not include any caregivers in this section, only clients who received III B, C, D or VII B services; (2) the totals in lines 2 and 3 are estimated per the AAA methodology (CDA does not provide a methodology to estimate these totals); (3) AAAs should not be adding lines 1 and 2 to obtain an estimated unduplicated total count as this will result in duplication; and, (4) if you would like to share your methodology with other AAAs, please email them to the Data Team and we will forward this to everyone when we send the minutes from this training.

- **Section IB (AAAs should not be modifying these reports)**
  1. Total clients served in all Cluster 1 and 2 Registered Services (Personal Care, Homemaker, Chore, Home Delivered Meals, Adult Day Care/Health, Case Management, Assisted Transportation, Congregate Meals and Nutrition Counseling)
  2. Total clients served in Cluster 2 services: Assisted Transportation, Congregate Meals and Nutrition Counseling)
- **Section IC (AAAs should not be modifying these reports)**
  1. Total clients served in Cluster 1 Registered Services ((Personal Care, Homemaker, Chore, Home Delivered Meals, Adult Day Care/Health, Case Management) with ADL characteristics
  2. Total clients served in each Registered Service with ADL characteristics

**Note:** Show how can expand the view to show all age groups

- **Section ID (AAAs should not be modifying these reports)**
  1. Total clients served in Cluster 1 Registered Services ((Personal Care, Homemaker, Chore, Home Delivered Meals, Adult Day Care/Health, Case Management) with IADL characteristics
  2. Total clients served in each Registered Service with IADL characteristics
- **Section IE (AAAs should not be modifying these reports)**
  - Total caregivers served in the “Caregivers Caring for Elderly” component of FCSP
- **Section IF (AAAs should not be modifying these reports)**
  - Total caregivers served in the “Grandparents Caring for Children” component of FCSP and care receivers age 18 and under.
- **Section IIA (some AAA modification to this section is required)**
  - Provider, enrollment, service unit and expenditure information for all services except FCSP
  - If you have reported all necessary provider information, this data should automatically populate in the first two columns
    - **Common errors in these sections:** AAAs added all providers, which resulted in a duplicated provider count; in addition, AAAs entered a value larger than 1 in the “# of AAAs Direct Services Provision” where this should be no greater than 1; as a result, RTZ has removed the calculate button from this section, and has added a validation to the AAA level reports that would not allow the AAA to report itself more than once as a direct service provider for each service).
  - Data in the next three columns is also automatically populated from AAA 4<sup>th</sup> submission files – unduplicated clients, individuals at high nutrition risk, and service units. Enter total NSIP counts in lines 4a and 8a.
  - NSIP Meals – When reviewing NSIP counts make sure ARRA meals are included. In NAPISCare, AAAs will have the ability to modify this data if it is inaccurate for any reason (Section IIA). Total NSIP counts should be reported in lines 4a and 8a. These numbers should equal the quarterly figures submitted (registered meals and non-registered meals).
  - Click on Show OAA Title III Expenditures hyperlink at the top to access the expenditure section of this report (manual entry is required)
    - Enter a “1” in the first two columns for each line where services were provided, otherwise you will be unable to finalize this report. This is a temporary place holder until the CARS Fiscal Module is mapped to NAPISCare.
    - Click on the calculate button at the bottom

- Save as final and validate
- **Section IIB (some AAA modification to this section is required)**
  - Provider, enrollment, service unit and expenditure information for FCSP, Caregivers Caring for Elderly
    - Enter a “1” in the first two columns for each line where services were provided, otherwise you will be unable to finalize this report. There is no need to enter “1” in sub-categories like last year. Since CDA does not collect fiscal information to this detail, we have requested that RTZ remove this validation check from NAPISCare.
    - Click on the calculate button at the bottom
    - Save as final and validate
- **Section IIC (some AAA modification to this section is required)**
  - Provider, enrollment, service unit and expenditure information for FCSP, Grandparents Caring for Children
    - Enter a “1” in the first two columns for each line where services were provided, otherwise you will be unable to finalize this report. There is no need to enter “1” in sub-categories like last year. Since CDA does not collect fiscal information to this detail, we have removed this validation check from NAPISCare.
    - Click on the calculate button at the bottom
    - Save as final and validate
- **Section IID (AAA modification is required)**
  - Contains Title VII Expenditures for which AAAs may enter a “1” as a placeholder
- **Section IIE (OPTIONAL - AAA modification is required)**
  - Contains utilization and expenditures for “other” services
- **Section IIIA (N/A – completed by CDA)**
  - Contains staffing profile of CDA.
- **Section IIIB (AAA modification is required)**
  - Contains staffing profile of AAAs. AAAs may enter partial FTEs. Lines 1-4 must add to line 5. The total does not have to be a whole number.
- **Section IIIC (some AAA modification is required)**
  - Contains unduplicated provider count for each AAA. The “total” and “minority” fields are populated from CARS submission files. AAAs must enter information on “rural” providers if applicable. Minority and Rural provides are defined in the Q&A document in PM 10-17 and in NAPIS SPR definitions.

- **Section IIID (AAA modification is required)**
  - Contains number of focal points in each PSA. AAAs may also enter the names of the Focal Points in the notes section (this is optional).
- **Sections IVA and IVB (OPTIONAL - AAA modification is required)**
  - These sections are optional for AAAs to report on any programs which receive funds, not just Title III B and C, and not limited to P, D or C. CDA and AoA would like to know any highlighted achievements AAAs have had which have enhanced home and community-based services for seniors, including any human interest stories. In the narrative portion, describe the result, the potential impact on older persons, and the process/step followed and who was primarily responsible for the accomplishment. It may be helpful to have these documented since the Year-End Report may be changing to an End of Area Plan Report.

### **Annual Reporting Reminders** (from Power Point Slides)

- Finalizing NAPIS SPR Sections:
  - Save as final and validate each section of the report, regardless if a particular service was provided (even if a report contains 0s because a service was not provided, it must be saved as final).
  - Only Sections IVA and IVB will remain in draft format even after they have been finalized.
- Unlocking Finalized Reports
  - If you are directed by CDA to make a change after a report is validated and finalized, or if you notice an error that you must correct, you may unlock and revalidate a report.
- Some manual entry of data is required (see PM 10-17 on CDA website)
  - Section II – in expenditure fields
  - Section IIIB – AAA Staffing Profile
  - Section IIIC – Provider Profile (only for “rural” providers, the rest should populate automatically from 4<sup>th</sup> submission data)
  - Section IIID – Focal Points and Senior Centers Profile
- Some data reporting is optional (see PM 10-17 on CDA website)
  - Section IIE – Other Service Profile
  - Section IIID – Focal Points detail (AAAs have the option to enter the name and address of their focal points in the notes section)
  - Section IVA/B – Developmental Accomplishments narrative
- Where fiscal expenditure data is required, enter 1. Since fiscal expenditure data is not yet mapped to NAPISCare, CDA will review the fiscal expenditures reported for AAAs for any questionable/erroneous reporting.

- NSIP Meals – When reviewing NSIP counts make sure ARRA meals are included. In NAPISCare, AAAs will have the ability to modify this data if it is inaccurate for any reason (Section IIA). Total NSIP counts should be reported in lines 4a and 8a and include registered, non-registered and ARRA meals.
- **AAA Annual Performance Data Review and Verification Process**
  - Ensure all necessary annual reports have been submitted.
  - Ensure accuracy of 4th submission data in CARS.
  - Approve 4th submission files in CARS File Upload Manager prior to finalizing reports in NAPISCare.
  - Review prior year(s) data to ensure the data is reported accurately and AAA staff understand why there are changes.
  - Schedule internal meetings with other staff, or even providers to review accuracy of data and to respond to the CDA questionable data error report (if necessary).
- **CDA Annual Performance Data Review and Verification Process**
  - After AAAs have submitted all annual reports and approved their reports in NAPISCare, CDA will review the data for questionable and logic errors and will inform AAAs if further revisions are needed.
  - A template of the logic and questionable data errors report CDA uses to review AAA data is on the CDA website as an attachment to PM 10-17.
  - AAAs should reference this document to see the specific areas we review (e.g. reporting of ineligible clients, high percentage of missing data, etc.).
  - In general, CDA will also question any performance/fiscal fluctuations over 10%.
  - All clients under the age of 60 in programs where the eligibility is 60 and over will require an explanation and corrections, if possible.
  - The Data Team will send copies of all annual reports, data error report and the AAA Director's verification document after you have finalized all annual reports, including those for Community-Based Services Programs (CBSP).
- **Note:** A number of AAAs have still not submitted their annual CBSP reports for ADCRC, Linkages and Senior Companion that were due on August 31. Please submit them to the Data Team inbox ([DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov)) as soon as possible.
- **Due Date for Finalizing NAPIS SPR in CARS NAPISCare:**
  - September 30 (*CDA will extend this date and will inform everyone via email*)
  - All data will have to be reviewed, corrected, entered in some cases and approved as final.

- **Availability of the Tool:**
  - CDA will inform everyone via email. RTZ is running all of the new scripts in the staging environment and we wanted to review everything prior to making it available to the AAAs.
  
- **NAPISCare Users Manual**
  - AAAs may obtain a copy of the manual through the Help link from any CARS screen

**Q & A Session** *(See Q & A Section below for responses to questions from audience)*

**Closing Comments**

- CDA will email minutes/Q&As from the meeting later this or next week
- Request attendees complete short survey
- Email the Data Team any unanswered questions
- Email the Data Team any AAAs best practices regarding annual data review

## Questions and Answers from the Webinar

*Since most of these questions were asked during the Webinar, the phrasing may not be exact. We attempted to stay true to the intent of the question to the best of our ability. Questions are categorized under each section of the Webinar. Miscellaneous questions are at the end of this document. If for any reason you do not see your question here, or we misinterpreted it, please email us at [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov) so that we can address it.*

### **Modifications in CARS for FY 2010-11**

#### **Q1: Under “other” services, is it optional to put in an estimated enrollment number?**

A: For FY 2010-11 AAAs are required to report service units for each quarter, and it is optional for AAAs to report estimated clients served in each service category at the end of the year. Starting with FY 2011-12, AAAs will also be required to report an estimated enrollment total for each service category at the end of the year (i.e. in their 4<sup>th</sup> submission reports).

#### **Q2: Currently in our system the value of 6 for ADLs/IADLs stands for another functional severity (i.e. paramedical need), whereas per CARS Specifications requirements the value of 6 indicates a “decline to state” option. As a result, data may populate in the “decline to state” option in CARS, when in reality it is another functional severity in the AAA. How would CDA suggest we address is?**

A: Check with your technical support provider to learn how the “decline to state” option is currently mapped when exporting data to CARS. If instead of “decline to state” the “paramedical need” is being populated in CARS because of this conflict in coding, you will need to make modifications in these codes by working with your technical support provider.

#### **Q3: Our local system collects non-registered service units for each quarter. Do I have to manually re-enter the information in CARS?**

A: If your system reports all non-registered service units as a part of your quarterly file upload, then you should not have to re-enter in the numbers. These numbers will populate automatically in CARS. When validating your figures for accuracy make sure your local system performance data matches the CARS quarterly display. If there are discrepancies, it could be because your system is only reporting the non-registered service units for only registered clients and does not include the non-registered clients served.

#### **Q4: Why do we have to re-enter service units/enrollments for each quarter in each subsequent submission of files in CARS?**

A: Currently, AAAs have the ability to edit non-registered services data field on a quarterly basis. Each subsequent data submission requires that data for each quarter be re-entered. CDA’s position at this point is to continue this editing procedure, as it allows each AAA to review their quarterly data in all subsequent quarters in order to note any changes, corrections that may have occurred between reporting periods. As AAAs and CDA get more familiar with the system, changes to CARS may be considered in the future.

**Q5: Does CDA have a model intake form they can share with everyone to use in FY 2010-11?**

A: CDA is developing a sample intake form and we will post it on our website when it is complete. AAAs can use it as guidance when developing their own intake forms. In the meantime, if any AAA would like for the Data Team to review your intake sheets to ensure you are collecting all required data elements, please send a copy to us at [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov).

**Q6: Will CDA revise the CARS ADL/IADLs scale to provide a greater detailed functional scale (e.g. MSSP scale)?**

A: With the implementation of CARS, AAAs are required to report each individual's ADLs and IADLs functional rating to meet the NAPIS functional field requirements. Additional mandatory fields have not been added to keep data entry to the minimum. AAAs and CDA may wish to revisit the functional scale if additional necessities are required.

**CARS Quarterly Error Reports for FY 2010-11**

**Q7: How can we use the error reports to see in which record the errors are? How can you make the error report more helpful?**

A: CDA and RTZ Associates have developed further guidance on referencing these reports. Please see page 13 of this document for more information. AAAs should share these reports with their technical support providers to interpret these errors and make the necessary corrections.

**Q8: The error report lists MSSP submission errors for ADL Grooming and IADLs for Laundry, Mobility Indoors, Mobility Outdoors, and Stair Climbing. Since these are not required reporting elements can these be removed?**

A: CDA will remove the MSSP ADL/IADLs from the error report but will continue to have these as an option collection field as part of the file specifications.

**NAPISCare Demonstration for FY 2009-10**

**Q9: In what instance should AAAs use the note box in each section of the NAPIS reports?**

A: AAAs can use the note box to inform CDA of any modifications they have made to the report, to enter focal point names/addresses and any other information they would like for CDA to know.

**Q10: Is it possible to extend the due date of the NAPISCare reports beyond September 30 to ensure the accuracy of the data?**

A: Yes, CDA has extended this date to October 30 giving AAAs an entire month to review and validate their reports.

**Q11: When will the CARS Fiscal Module be mapped with NAPISCare so we do not have enter “1” as a placeholder?**

A: CDA hopes to eventually integrate this module with NAPISCare. This project is currently on hold due to funding limitations. If you do not currently provide a particular service, leave the expenditures in those fields as zeroes.

**Q12: Why is the “decline to state” option missing from NAPIS reports?**

A: The “decline to state” data collection field is specific to CDA reporting requirements as outlined in the CARS File Specifications. The NAPIS report in CARS NAPISCare mirrors the U.S. Administration on Aging report and will display the “decline to state” and “missing” figures from the file upload module and report them under the “missing” category in NAPISCare module.

**Q13: In Section IIIB, AAA Staffing Profile, do the total FTEs have to sum to a whole number?**

A: No, this is the only section where your total can be reported as a partial number, as long as lines 1-4, add to line 5.

**Q14: Would “Strategic Planning” qualify for a “Significant Yearly Accomplishment” in Section IVA?**

A: If you are unsure how to list yearly accomplishments, look at the Development Type Codes 1-7.

**Q15: How can we unlock reports to make changes in NAPISCare?**

A: You can unlock a report from the Report Management Screen in NAPISCare by clicking on the “unlock” link in the feature column for a particular section. Once you make a change, a new version is automatically generated as Version 2, etc. Prior versions are not deleted for your convenience, so you can always refer back to them. The most recent version is submitted as your CARS final submission to CDA for reporting to Administration on Aging (AoA).

**Q16: What if the data that is automatically populated into the NAPIS reports does not match the figures from the 4th quarter CARS submission?**

A: You should contact the CDA Data Team at [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov) and RTZ Associates helpdesk at [carshelp@getcare.com](mailto:carshelp@getcare.com) should you notice data discrepancies between these system modules. Please remember that ineligible clients under the age of 60 reported in Title IIIB services in your 4<sup>th</sup> quarter CARS submission are automatically excluded from all NAPIS reports. CDA will be following up with each AAA to obtain explanations should these errors occur.

## **Annual Reporting Reminders**

### **Q17: Can you email us the Annual Reporting Reminders Power Point presentation?**

A: The notes from the Power Point presentation have been incorporated in the minutes section of this document, under "Annual Reporting Reminder" (p.7).

## **Other Questions**

### **Q18: I am no longer receiving Program Memo (PM) notifications. Do you know why?**

A: Currently, only AAA Directors are notified when a new PM is issued due to changes in CDA's subscription to this feature. Our Information Technology staff is aware of the problem and is trying to resolve it. In the meantime, we will email you when we generate a PM related to data reporting. We also suggest that you periodically check for new PMs at the PM Index at this link: [http://www.aging.ca.gov/PM/PM\\_index.asp](http://www.aging.ca.gov/PM/PM_index.asp)

### **Q19: When will the CARS Overview and Guidance be finalized to inform AAAs what rounding methodology they should implement and how to collect and report data for caregivers in the Family Caregiver Support Program?**

A: CDA will be issuing a revised draft of this document for review. All changes will be effective as of FY 2011-12. AAAs may use their current processes in place until CDA issues this document with a Program Memo later this year.

### **Q20: If I make changes in my 4<sup>th</sup> quarter file submission to my 3<sup>rd</sup> quarter data, should I also resubmit my 3<sup>rd</sup> quarter file submission.**

A: No. You do not need to resubmit your 3<sup>rd</sup> quarter submissions. Only your 4<sup>th</sup> quarter data will be populated into NAPISCare reports. If you do make a change to prior quarter data, CDA request that you make a notation in the 4<sup>th</sup> quarter CARS note section as to the reason for the difference between the 3<sup>rd</sup> and 4<sup>th</sup> quarter figures.

## How to Review the CARS Quarterly Error Reports

The “CARS Quarterly Error Report” was developed to identify whether the submitted files have met CARS File Specifications requirements and, if not, how the AAA file submissions were affected. The report lists all required data fields in the same order they appear in the current CARS File Specifications.

In general, errors that are isolated within a single file are typically easy to spot. Those errors which are relational in nature, involving two or more files, are more difficult to pinpoint just by looking at the raw files.

The error reports are designed not only to identify each line item where errors occur, but also, to give feedback about sources of problems, so that the export process itself is corrected.

The ultimate goal is to provide better data, resulting in fewer re-submissions, fewer manual edits, and more accurate reporting overall.

Please follow the guidance below while reviewing the error reports.

1. Open the “CARS Quarterly Error Report” emailed for that submission by RTZ Associates (i.e. errors.xls).
2. Review the “# of errors” column in the error report.
3. Open the submission files for that reporting period where the error report lists an error (e.g. clientcaregiver.txt, enrollment.txt, serviceprovider.txt, servicenits.txt or caregiverrelationship.txt).
4. Identify the client records where the error has occurred. If the error affects more than one file, advanced knowledge of Excel formulas/functions or knowledge of how to import raw data into a relational database system like SQL Server, Oracle, or MySQL and then running database queries is necessary.
5. Contact your contracted technical support provider for assistance if necessary.
6. Contact the CDA Data Team at [DataTeam.Reports@aging.ca.gov](mailto:DataTeam.Reports@aging.ca.gov) and RTZ Associates at [carshelp@getcare.com](mailto:carshelp@getcare.com) if you need further assistance with analyzing these errors.
7. Make the necessary correction in your local system.
8. Resubmit your quarterly files to CARS at <https://ca.getcare.com> or depending on the type of error, you may submit them when the following quarterly submission is due.

**NOTE:** The following examples provide helpful steps in how to analyze and correct specific errors. For analyzing more complex errors, you may need to contact your technical support provider.

### **Example #1: Client, Caregiver, Care Receiver Birth Date: Cannot be blank.**

**File Name:** Client Caregiver File

**File field /message:** Client, Caregiver, Care Receiver Birth Date: Cannot be blank. 0 or 0000-00-00 is required for Missing

**Condition:** Null Birth Date ID value

**Result:** Warning

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- Open the clientcaregiver.txt file using Excel.
- Birthday is the 5th column (E). Check this column for blanks.
- The number of occurrences where you see blank cells should equal the number of errors listed for the birth date field in the error report.
- Check the Participant ID or any other client identifying information in this document.
- Find the clients who are missing the birth date in their client profile in your internal database. If this information is missing, indicate it as such in your system for each client.
- Since AAAs use various software systems, contact your technical support provider if necessary to learn how to record missing information. Regardless of how missing information is recorded (e.g. by selecting “missing,” or by selecting the value of “0”, etc.), your system should export missing data for the birth date field as a 0 or 0000-00-00.
- Resubmit your quarterly files to CARS. Since this error constitutes a “warning,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS.

### **Example #2: Client, Caregiver, Care Receiver Birth Date: Out of range value.**

**File Name:** Client Caregiver File

**File field /message:** Client, Caregiver, Care Receiver Birth Date: Out of range value

**Condition:** Birth Date is either pre-1900 or a future date

**Result:** Warning

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- Open the clientcaregiver.txt file using Excel.
- Birthday is the 5<sup>th</sup> column (E). Check this column for dates outside the scope of 1900-01-01 and the end of the reporting period (e.g.2011-06-30 ).
- **Note:** These items require a bit of manipulation and advanced knowledge of Excel formulas, which include =DATEVALUE(), converting the cells to type date, and an estimator such as =INT(("2011-06-30"-E1)/365.25).
- The number of occurrences where you see out of range cells should equal the number of errors listed for the birth date field in the error report.
- Check the Participant ID or any other client identifying information in this document.

- Find the clients whose birth date information is reported erroneously. If this information is missing, indicate it as such in your system for each client. If you confirm it is a data entry error, make this correction in your system.
- Since AAAs use various software systems, contact your technical support provider if necessary to learn how to record missing information. Regardless of how missing information is recorded (e.g. by selecting “missing,” or by selecting the value of “0”, etc.), your system should export missing data for the birth date field as a 0 or 0000-00-00 in instances where birth date information is not available.
- Since this error constitutes a “warning,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS.

**Example #3: Client, Care Receiver ADL Transferring: Out of range value.**

**File Name:** Client Caregiver File

**File field /message:** Client, Care Receiver ADL Transferring: Out of range value.

**Condition:** Not 0,1,2,3,4,5,6

**Result:** Warning

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- Open the clientcaregiver.txt file using Excel.
- Transferring is the 24<sup>th</sup> column (X). Check this column for blanks or values other than 0-6.
- The number of occurrences where you see blank cells should equal the number of errors listed for the transferring field in the error report.
- Check the Participant ID or any other client identifying information in this document.
- Find the clients who are missing the transferring field in their client profile in your internal database. If this information is missing, indicate it as such in your system for each client. If it was coded incorrectly, make the appropriate correction.
- Since AAAs use various software systems, contact your technical support provider if necessary to learn how to record missing information. Regardless of how missing information is recorded (e.g. by selecting “missing,” or by selecting the value of “0”, etc.), your system should export missing data as a 0 and a “decline to state” field as a 6.
- Resubmit your quarterly files to CARS. Since this error constitutes a “warning,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS.

**Example #4: End service date/deactivation date: Cannot be blank if a reason for deactivation is reported.**

**File Name:** Enrollment File

**File field /message:** End service date/deactivation date: Cannot be blank if a reason for deactivation is reported

**Condition:** Null End service date/Deactivation date value, when Reason for Deactivation value = 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 0

**Result:** Warning

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- Open the enrollment.txt file using Excel.
- The End Service Date/Deactivation Date is the 6<sup>th</sup> column (F). Check this column for blanks.
- The Reason for Deactivation is the 7<sup>th</sup> column (G). If it is coded 13, this means "Past Active" status according to the CARS File Specifications Look Up Table (W,X).
- If there is a Reason for Deactivation, then there should be an End Service Date/Deactivation Date for consistent logic.
- The number of occurrences where you see blank cells should equal the number of errors listed for the End Service Date/Deactivation Date field in the error report.
- Check the Participant ID in this document to identify which client records this error affects. If necessary, cross reference it with the same Participant ID in the Client Caregiver file to obtain other client profile information, such as name, address, etc.
- Find the clients who are missing the end service date/deactivation date in their client profile in your internal database. If this information is missing, indicate it as such in your system for each client and do not leave it blank.
- Since AAAs use various software systems, contact your technical support provider if necessary to learn how to record missing information. Regardless of how missing information is recorded (e.g. by selecting "missing," or by selecting the value of "0", etc.), your system should export missing data for the End Service Date/Deactivation Date field as a 0.
- Resubmit your quarterly files to CARS. Since this error constitutes a "warning," AAAs can wait to resubmit these corrections with their next quarterly submission in CARS.

**Example #5: Enrollments declared for clients who did not have record of Service Units in Service Units file for the reporting quarter/year.**

**File Name:** Enrollment File (this error also affects the Service Units File)

**File field /message:** Enrollments declared for clients who did not have record of Service Units in Service Units file for the reporting quarter/year

**Condition:** Enrollment file has a Participant ID/Service ID/Provider ID combination not found in Service Units file

**Result:** Record Discarded

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- In this instance, enrollments were declared for clients who did not have a record of service units in the Service Units File for the reporting quarter/year.
- If an error affects more than one file, the particular record will be discarded.

- Contact your technical support provider for assistance in correcting this error (you may wish to send a copy of the error report to them).
- If you need additional assistance in understanding which records the error affects, contact the CDA Data Team and RTZ Associates via email.
- Resubmit your quarterly files to CARS. Since this error constitutes a “record discarded,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS. Please note that there will be discrepancies between your local database and your data in CARS until these errors are fixed.

**Example #6: Unit name: Does not match lookup table AA.**

**File Name:** Service Units File (this error also affects the Service Provider File)

**File field /message:** Unit name: Does not match lookup table AA.

**Condition:** Unit names do not match lookup table values

**Result:** Warning

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- In this instance, the service unit measure, did not match its value in lookup table AA (e.g. a meal is reported as an hour).
- Contact your technical support provider for assistance in correcting this error (you may wish to send a copy of the error report to them).
- If you need additional assistance in understanding which records the error affects, contact the CDA Data Team and RTZ Associates via email.
- Resubmit your quarterly files to CARS. Since this error constitutes a “warning,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS.

**Example #7: Service ID for FCSP is not linked to a Caregiver service Program Type ID: Out of range value.**

**File Name:** Caregiver Relationship File (this error also affects the Service Provider File)

**File field /message:** Service ID for FCSP is not linked to a Caregiver service Program Type ID: Out of range value

**Condition:** Not 111, 112, 121, 122, 123,124, 131, 132, 133, 134, 135, 136, 141, 142, 143, 144, 145, 146, 1501, 1502, 1503, 1506, 1545-1566.

**Result:** Record Discarded

**Number of Errors:** Error report will indicate the number of errors (e.g. 12, 200, 345, etc.)

- In this instance, a caregiver is linked to a non-FCSP service (e.g. Personal Care). The Caregiver Relationship file must link to a FCSP service, so referencing a Personal Care service is incorrect for the purposes of the file structure.
- Contact your technical support provider for assistance in correcting this error (you may wish to send a copy of the error report to them).

- If you need additional assistance in understanding which records the error affects, contact the CDA Data Team and RTZ Associates via email.
- Resubmit your quarterly files to CARS. Since this error constitutes a “record discarded,” AAAs can wait to resubmit these corrections with their next quarterly submission in CARS. Please note that there will be discrepancies between your local database and your data in CARS until these errors are fixed.