

**Vermont Department of Disabilities, Aging & Independent Living
Adult Services Division, State Unit on Aging
National Aging Program Information System - State Program Report (NAPIS SPR)
Procedures**

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SECTION I: REQUIREMENTS & RESPONSIBILITIES

The Department of Disabilities, Aging & Independent Living (DAIL) is Vermont's Older American Act (OAA) State Unit on Aging (SUA) and is required to submit an annual federal fiscal year report on all Area Agency on Aging (AAA) services and expenditures. The annual report must be submitted on time and comply with federal NAPIS SPR requirements. The AAAs and DAIL must collaborate to meet the annual report requirement. All AAAs and DAIL should be familiar with the acronyms used in NAPIS reporting and a list of common acronyms is provided at the end of this document.

A. Vermont Area Agencies on Aging (AAA) responsibilities include:

- 1) Familiarity with Administration for Community Living (ACL) service definitions and units:
[https://www.napisdata.us/NapisSrt/docs/State Program Report \(SPR\) Form \(vers.08012016\).pdf](https://www.napisdata.us/NapisSrt/docs/State%20Program%20Report%20(SPR)%20Form%20(vers.08012016).pdf)
(definitions are on pages 21-26)

- 2) Designate a contact person to DAIL for NAPIS and staff to participate in the ACL Data Community (ADC), now located at www.napisdata.us/NapisSrt.
 - i) Monitor ADC for changes in NAPIS SPR requirements & procedures
 - ii) Obtain and disseminate resource and information materials to relevant staff
- 3) Designated staff request SRT logins from ACL (Harmony) for identified Agency SRT users
- 4) Ensure complete and accurate data collection, recording and reporting for consumers, services and expenditures
- 5) Ensure that all SAMS data entry for the FFY is completed by date designated in timetable
- 6) Familiarity with OAA authorizing language for eligibility criteria and program requirements
- 7) Ensure intake and registration forms used by AAA or contractor include all ACL required data
- 8) Reviewing data periodically and prior to submission to DAIL for completeness, accuracy and conformity to ACL definitions and requirements
- 9) Submit preliminary expenditure data in NAPIS SPR format to DAIL business office by date designated in timetable
- 10) Revise, correct or explain expenditure data as needed in response to DAIL discrepancy questions.
- 11) Run and review the NAPIS SRT report
- 12) Run and review NAPIS SRT analysis reports
 - a) Yearly comparison
 - b) National family caregiver support program report
 - c) Service unit and expenditure report
- 13) Provide three narrative accomplishments for both “Home and Community Based Programs” and “Elder Rights” in Sections IV.A and IV.B of the NAPIS SRT
- 14) Provide a comprehensive written explanation using the ACL variance template to DAIL when there is a +/- 10% or greater difference in yearly comparison report and/or service unit and expenditure report for any service from prior year
- 15) Validate Final SRT Report prior to submission to DAIL
- 16) Submit validated (by Executive Director) NAPIS SRT report to DAIL including all required data not recorded in SAMS.
- 17) Review, correct and resubmit the corrected final NAPIS SRT report to DAIL by date designated in timetable in response to DAIL discrepancy questions.

B. DAIL Responsibilities include:

- 1) Designate DAIL lead for ACL & ADC participation, updates and changes
- 2) Designate DAIL NAPIS lead staff & inform AAAs
- 3) Designated staff request SRT logins from ACL (Harmony) for identified DAIL SRT users
- 4) Designated staff inform DAIL SRT users of NAPIS SRT updates as needed
- 5) Review, update and disseminate the NAPIS SPR Procedures annually including timeline
- 6) Schedule DAIL review committee meetings
- 7) Review each AAA NAPIS report and follow-up in a memo when discrepancies arise
- 8) Facilitate DAIL review committee meetings
- 9) Consolidate all the AAA final reports into one State Program Report (SPR)
- 10) Review AAA expenditure report, provide follow up as needed
- 11) DAIL NAPIS lead staff enters 3 top accomplishments and State staffing profile in SPR
- 12) Review SPR prior to submission to ACL
- 13) Validate and verify SPR prior to submission to ACL
- 14) Submit SPR, expenditure report, and variance explanations to ACL by deadline

- 15) Respond to questions ACL may have regarding the SPR and revise SPR if needed
- 16) Confirming to ACL the completion of the SPR with no further changes to the data
- 17) Post the finalized SPR and supplemental reports on the DAIL website

SECTION II. TIMELINE

Timeline for Submission and Review of NAPIS SPR Reports (dates subject to revision, dependent on changes in ACL timelines to states). *Note: If a date (“when”) falls on a holiday or weekend, the work product (“what”) is due the working day prior to the date listed (“when”).*

When	Who	What
9/18	SUA/AAAs	Set up accounts for the State Reporting Tool (SRT) 3.0 at https://www.napisdata.us/NapisSrt . Previous SRT account holders can log in with the previous username and password. To request a new account, email customersupport@mediware.com . See end of this document for more information. For each account requested, please provide the user’s name, organization, e-mail, telephone number and advise if the user wishes to receive e-mailed notices issued to members of the SRT users Community.
9/25/18	SUA/AAAs	DAIL and AAAs meet to kick off NAPIS season, review NAPIS requirements, responsibilities, and deadlines.
10/11, 11/16, 12/12	SUA	SUA Webinars –ACL webinars on FFY17 NAPIS Reporting: Overview of SRT 3.0 Software and Submitting the Annual SPR. ACL will post webinar recordings on SRT website for AAAs to view. SUA to send more information to AAAs when available.
On-Going	AAAs	AAAs review informational materials and requirements through ACL Data Community, review AAA data for completeness and accuracy, run reports to check validity of data, and make improvements/changes as needed.
10/5/18	SUA	DEADLINE for SUA to send updated NAPIS Procedures to AAA EDs & AAA designated NAPIS staff
10/30/18	AAAs	AAA completed all data entry for last FFY.
11/1/18	AAAs	AAA start running NAPIS report & start internal review including analysis reports
11/15/18	AAAs	Deadline for AAA to validate NAPIS SPR and complete manual entry of additional required information (expenditures, meals etc.)
11/28/18	AAAs	DEADLINE for AAAs to submit expenditure data in SRT format to DAIL BO.
11/28/18-12/7/18	BO, SUA	BO and SUA review AAA data and follow-up & resolve discrepancies & issues from expenditure review with AAA
12/10/18	AAAs	DEADLINE for AAAs to submit preliminary NAPIS analysis reports and variance explanation reports to SUA. Submit validated NAPIS SPR (via submit button in SRT), Export Yearly Comparison, National Family Caregiver Support and Service Unit and Expenditure reports and email with SPR Variance Explanation

		Report and Service Unit and Expenditure Variance Explanation Reports to SUA contact.
12/10/18	BO	BO Review of AAA financial data completed.
12/10/18- 12/21/18	SUA/BO/PPAU	SUA opens NAPIS reports from each AAA that was submitted to state SRT and runs preliminary state roll-up report and yearly comparison report, then notifies DAIL review committee members of submitted reports. Individual review of reports by DAIL review committee members can begin prior to scheduled Review Meeting.
01/03/18	SUA/BO/PPAU	First DAIL review committee meeting. Completion of AAA NAPIS initial review.
01/10/19	SUA	After review of all AAA SPR Variance Explanation Reports, SUA sends each AAA a summary of issues to be resolved as needed.
01/10/19- 01/18/19	AAAs	AAA/SUA resolve issues, AAAs update data in SAMS if needed and NAPIS SPR as needed
01/18/19	AAAs	DEADLINE: for submission to DAIL of FINAL validated NAPIS SPR (via submit button in SRT), final/revised analysis reports and narrative explanations sent via email attachments to SUA.
01/22/19	SUA	SUA rolls up each AAA report to State NAPIS SRT.
01/22/19	SUA	Notifies DAIL review committee of submitted reports for further review.
01/28/19	SUA/BO/PPAU	Final DAIL review committee meeting and final review of NAPIS data.
01/30/19	SUA	SUA/AAA resolves any final issues. SUA completes SPR Variance Explanation Report. SUA checks that all AAA NAPIS SPR reports have been submitted (or resubmitted and are final reports in the State NAPIS SRT. SUA runs final state roll-up report & reviews & verifies.
01/31/19	SUA	DEADLINE: SUA submits the final rolled up NAPIS SPR and the Variance Reports to ACL by 12 noon (via submit button in SRT). SUA retains paper record, saves to electronic folder.
02/01/19 - 02/08/19	ACL/SUA	ACL sends data submission confirmation to SUA; SUA copies to electronic folder and BO. SUA reviews data to ensure that it matches submission, including NSIP data, and respond as necessary; sends e-mail to ACL liaison to ensure that certification of report is complete.
02/08/19	SUA	DEADLINE: SUA submits NSIP Variance explanations and SPR Variance Explanations (2-year comparison and service unit/expenditure) to ACL regional liaison.
02/22/19	ACL/SUA	NSIP figures are certified on or before this date. States must work with their Regional contacts by 2/22/19 to certify NSIP data and any related explanation(s) of NSIP variances ($\pm 10\%$) from NSIP figures reported for FFY 2016 NOTE: Each state's NSIP grant award will be based on the NSIP meal counts reported in the SPR. After 2/22/19, any changes to NSIP figures, if permitted, will have no impact on grant allocation.
02/22/19-	ACL/SUA	ACL Regional Offices will review, analyze, and provide feedback

03/25/19		on State submissions to enhance data quality and consistency. SUA works with ACL Regional contacts to correct and electronically resubmit changes to the SPR until the submission is finalized. SUA provides to the ACL Regional contacts any final explanations of variances ($\pm 10\%$). Explanations should be e-mailed to the ACL Regional contacts as part of submission finalization.
03/25/19	ACL/SUA	SUA has CERTIFIED AND FINALIZED the FFY 2018 SPR data. Once the FFY18 SPR has been finalized, no further changes will be permitted and the data will be “locked” to prevent further modifications.
03/26/19	SUA	Once SPR is certified and finalized by ACL, SUA saves them in shared ALLDAIL directory, then notifies appropriate DAIL staff to post on DAIL website.

SECTION III. VERMONT NAPIS UPDATES BY FISCAL YEAR

NEW AS OF FFY 2018 (October 1, 2017 – September 30, 2018)

Other Services – Service Names, Service Units, Persons Served. Detailed instructions were outlined in FY17’s instructions and DAIL is seeking to refine the instructions to ensure consistent, accurate naming of services within the Other Services category. Please follow the guidelines for Other Services (Section II.E.) within this grid and be sure to write the service name and service unit name exactly as outlined below:

Service Name	Service Unit Name	Estimated Unduplicated Persons Served	Additional information
State Health Insurance Assistance Program	1 contact		
Home Modification	1 modification		OAA caps the amount of OAA Title IIIB funds that can be spent on home modifications per person at \$150.00.
Senior Companion Program	1 hour	People served by senior companions. Do not include senior companions in this count.	
Retired Senior Volunteer Program	1 hour	People served by RSVP volunteers. Do not include volunteers in this count.	
Volunteers	1 hour	People served by volunteers. Do not include volunteers in this count.	This includes all agency-managed volunteers, except SCP and RSVP. Does NOT include volunteers of contractors.
Assistive Technology	1 device		Examples: adaptive computer,

			stove alarm, Lifeline, wheelchair
Flexible Support	1 purchase		Examples: rent, utilities, medical bills, appliance, furniture or contracted service. This cannot include purchases with Title IIIB funds but can include use of state general funds.
In Home Support	1 hour		This category of service should not be used in Other Services if using Title IIIB funding. Title IIIB in-home support should be captured in Personal Care, Homemaker and Chore categories (see ACL definitions, page 22).
Elder Care Clinician	1 hour		
ERC Case Management	1 hour		

Other technical items of note for FFY18:

- Network Profiles / AAA Staffing Profile (Section III.B): Remember to categorize case management staff as “access / coordination,” not “service delivery.” Remember to include all agency volunteers, including SCP and RSVP volunteers at the agency in the volunteer category.
- Utilization & Expenditure Profile (Section II.A): For “Number of Providers,” remember the definition of “provider” is an agency; not number of staff. See ACL definitions.
- In variance explanations, remember to fill out all fields for each service where a variance is required.

Past years' updates:

NEW AS OF FFY 2017 (October 1, 2016 – September 30, 2017)

- 1) **Other Services – Service Names and Units.** ACL describes Other Services as a “service provided using OAA funds that do not fall into the previously defined service categories.” For the categories of service in which all AAAs are providing the service, DAIL is instructing all AAAs to use the same unique Service Name and Service Unit Name. *Please note that even slight changes to Service Names, including capitalization, effects the SPR statewide roll-up, so please pay close attention to these Service Names and Service Unite Names.*

State Health Insurance Assistance Program. Unit of Service = 1 contact.

Home Modification. Unit of Service = 1 modification.

Senior Companion Program. Unit of Service = 1 hour of a senior companion’s service time.

Retired Senior Volunteer Program. Unit of Service = 1 hour of service time.

Volunteers. Unit of Service = 1 hour of service time. Please note that “volunteers” is separate from Senior Companion Program and Retired Senior Volunteer Program (RSVP) and should be tracked separately.

Assistive Technology. Unit of Service = 1 device or piece of equipment. Examples: adaptive computer, stove alarm, Lifeline, wheelchair, etc.

Flexible Support. Unit of Service = 1 purchase/payment. Examples: rent, utilities, medical bills, appliance, or contracted service. This cannot include purchases with Title IIIB funds, but can include use of state general funds.

Note: In Home Support. This category of service should not be used in Other Services if using Title IIIB funding. Title IIIB in-home support should be captured in Personal Care, Homemaker and Chore categories (see ACL definitions, page 22).

Note: Additional Services. If a AAA provides an additional service not included above, please provide a descriptive name of the service in the Other Services section and attach a detailed definition of the service name and an explanation of the unit of service.

- 2) **Use of Title IIIB Funds for “Other Services.”** ACL has provided new guidance on the usage of Title IIIB OAA funds under the broad category of “Other Services” in Section II.E in SPR. Section 321 of the OAA sets forth the types of costs that may be paid with Title IIIB funds. The costs to which Title IIIB funds are applied should be **supportive service-related**. For example, services such as personal care, chores, housekeeping, case management, legal services, tax preparation assistance and financial counseling, translation services, crime prevention and victim assistance, etc. are all allowable uses of Title IIIB funds.

Title IIIB funds should not be used for payment of living expenses and bills. For example, Title IIIB funds should not be used to rent, security deposits, moving costs, fuel, furnace/appliance/furniture repair, car repair, medical bills, dental bills, etc. Title IIIB funds should not be used for purchase of goods. For example, Title IIIB funds should not be used to purchase household necessities, food, eyeglasses, dentures, appliances, furniture, clothing, pet supplies, etc.

The only exception to the use of Title IIIB funds for purchase of goods can be found in Section 321(a)(11), which allows assistive technology devices, such as hearing aids, medical alert systems (such as Lifeline™), walkers, wheelchairs, etc.

Home repairs: Per 45 CFR §1321.3, Title IIIB funds may be used for a minor modification of a home that is necessary to facilitate the ability of an older individual to remain at home, and that is not available under other programs, except that *not more than \$150 per client* may be expended for such modification. (A waiver may be sought from ACL if the SUA would like to request a higher limit).

AAAs should maintain documentation to back up expenses paid with Title IIIB funds. This practice will help to ensure that funds are being spent appropriately and will help to justify spending in the event of an audit.

- 3) **Supplemental Services.** As of FFY18 it is no longer allowable to use a dollar as a unit of service for supplemental services. ACL defines supplemental services as services provided on a limited basis to complement the care provided by caregivers. Examples of supplemental services include, but are not limited to, transportation, home modifications, assistive technologies (including hearing aids, canes, walkers, wheelchairs, etc.), emergency response systems, and incontinence supplies.

Units of Service Examples:

1 one-way transportation ride = 1 unit of service

1 purchase of an assistive technology = 1 unit of service

1 purchase of Lifeline medical alert system = 1 unit of service

1 case of Ensure = 1 unit of service

1 person receiving a home modification = 1 unit of service.

[Please note that per OAA rules, the maximum amount that can be spent on home modifications for one person is \$150.00]

VT Example: The AAA helps a client install grab bars and buys the client a bath chair. Total units of service = 2.

If you have questions about how to calculate a unit of service for a particular category of supplemental services at your AAA, please contact Angela Smith-Dieng at angela.smith-dieng@vermont.gov.

NEW AS OF FFY 2016 (October 1, 2015 – September 30, 2016)

- 1) The SAMS service of Veterans Care Advising is now mapped to Case Management in NAPIS
- 2) HB Case Management – AAA is now mapped to Case Management
- 3) Enhanced Options Counseling is now mapped to Case Management
- 4) As of 2016, CVAA (Champlain Valley Agency on Aging) is not using SAMS for I&R (Information and Referral) and has returned to using REFER. CVAA must still comply with I&R definitions and report data in NAPIS SRT

NEW AS OF FFY 2015 (October 1, 2014 – September 30, 2015)

- 1) NAPIS SRT Software updates must be installed by each SRT user. This installation occurs automatically if you use the link in the Harmony Portal for NAPIS SRT. A new user on a new computer will need to have their IT department download the application from the ACL data community portal and follow the instructions there.
- 2) **Options Counseling:** Options Counseling is recorded in SAMS as a call topic during the call. Any call with Options Counseling will appear in the NAPIS report as an I&R call and will not be identified as Options Counseling. If the call is referred to an options counselor, then a service delivery of Options Counseling is entered in SAMS. This is mapped to case management in the NAPIS report. Any service delivery of Options Counseling entered in SAMS will appear in the NAPIS report as case management.
- 3) **I&R:** The REFER Data Base was migrated to SAMS in June of 2015. All I&R data should have been migrated from REFER so the SAMS I&R NAPIS data should show all calls from 10/1/14 to 9/30/15. Because of this migration AAAS should pay close attention to the I&R numbers in NAPIS. If the numbers don't look right AAAs should carefully review their I&R data in SAMS reports and in REFER reports for data prior to 6/1/15. Due to inconsistencies across agencies about how options counseling was previously reported for NAPIS, there may be big variances in both I&R and in case management which may be explained by our new standardized process for recording Options Counseling.

NEW AS OF FFY 2014 (October 1, 2013 – September 30, 2014)

- 1) "Cash and Counseling" is now known as "Self-Directed Care" and a more complete definition is included. (Please consult the most recent NAPIS Reporting Requirements for all definitions at the ACL data community web site. The link is provided in Section IV.)

- 2) “Health Promotion” is now known as “Health Promotion and Disease Prevention” though its SPR definition remains unchanged. In addition, information on the reporting of evidence-based Title III-D services is provided in the definition sections.
- 3) The term “severe” has been omitted from the definition of “Child” to align the SPR definition with the OAA. Please note the new definition in the most recent NAPIS Reporting Requirements. **Note:** The OAA still required that priority be given to grandparents caring for children with severe disabilities including children with severe disabilities.
- 4) New Caregiver programs, Kinship Care and Outreach, recorded in SAMS. All FCSP services can be recorded directly in these programs and NAPIS SRT maps these services to same FCSP service categories for caregivers in NAPIS SPR.

SECTION IV. AAA PROCEDURE DETAIL

Data and Definitions:

Each AAA is responsible for the collection and entry of the required OAA data and information for their agency. This responsibility includes reading and understanding the NAPIS SPR data elements, report definitions and transmittal requirements in the most recent NAPIS Reporting Requirements. Each AAA must also understand how to use the most recent version of the NAPIS SRT. The manual for this and the most recent NAPIS Reporting Requirements are available at <https://www.napisdata.us/NapisSrt>.

It also means ensuring that all intake and registration and assessment forms used by the AAA and/or at the contractor level capture all of the ACL required data for the particular service being provided. Each AAA is also responsible for reviewing the data to ensure that data submitted to DAIL is complete, accurate, and conforms to the definitions and requirements established by the ACL. AAAs are expected to review their data entry throughout the year for completeness and accuracy and run reports, and make changes as necessary to improve the completeness and accuracy of the reports. In order to allow time for each agency’s internal review of NAPIS before it is submitted to DAIL, all demographic and service data for the reporting Federal Fiscal Year (FFY) must be entered into the individual agency’s database **on or before November 15**.

Basic Data Integrity

1. Services must always be associated with expenditures, and expenditures must always be associated with services. Thus, AAAs must ensure that there is an expenditure in the AAA financial records for all service categories entered. For example, personal care services should not be reported if there is no personal care services expenditure in the financial records. Conversely, if personal care service expenditures are reported, service units must be reported. Within each AAA, business office staff and other management staff must communicate to ensure that there is an expense category for each service that is recorded in SAMS for NAPIS.
2. Ensure that knowledgeable staff (data management, program, and fiscal) review summary data.
3. Ensure that NAPIS expenditure data is consistent with financial audit information.
4. Use the most recent ILA version so that ADLs and poverty can be recorded correctly for NAPIS SPR. If an earlier version is used, ADL counts may be missing. Also be sure to record poverty, Nutrition Risk score, ethnicity and race in the ILA.
5. When the AAA enters NAPIS SPR data from a source other than SAMS, including financial data, the AAA must document the alternate data source and forward this to DAIL with attached analysis reports.

6. *Note that once ACL has certified the state report, no data can be corrected or changed. For NSIP meals, this may have an impact on funding for the entire state.*

Each AAA will review the NAPIS SPR requirements, **including the service definitions and unit definitions contained at the end of the report, and ensuring that services, clients and expenditures are reported accurately and in accordance with the definitions.** As part of this process, each AAA shall designate one staff who will be responsible for joining the ACL Data Community, monitoring the community for changes in NAPIS SPR requirements and procedures, and obtaining important resource and informational materials from the community, and relaying information obtained from the community to other AAA staff involved for AAA reporting.

Data for the NAPIS SPR report will be obtained through the on-going entry of data into the SAMS database and, as necessary, from the appropriate AAA program and fiscal staff responsible for management and oversight of the various OAA programs and services. This includes the financial data that must currently be manually entered in the NAPIS SPR because it is not recorded in SAMS. **Financial data as reported in NAPIS SPR must match the data reported in the AAA financial audit.** AAAs shall provide the financial data in the NAPIS SPR format to the DAIL Business Office (BO) for review prior to entering it into NAPIS SPR. AAAs must enter and verify the expenditure data into NAPIS SPR.

Running/submitting/exporting NAPIS and analysis reports

Running NAPIS SPR Report – *note these instructions may vary slightly with the release of SRT 3.1.*

- A. SAMS users can login to the Harmony portal, non-SAMS users will have a website login from ACL
- B. Click on NAPIS SRT in the applications section of the Harmony portal, use the portal Id and PW
- C. The ACL Reporting module will open, click on State Program Reports
- D. The list of all previous reports will appear as well as a task bar on the top
- E. Click on New in the task bar
- F. In the report source box click on SAMS Report
- G. In the Fiscal year box choose the FFY for the report
- H. In the comments box type in a description of the report such as CVCOA FFY16 1st run
- I. Check the box next to Copy Developmental Accomplishments if you want to copy accomplishments from previous year as a base for the current year
- J. Click OK
- K. Save the report

Run Analysis reports

Yearly Comparison Report

- 1 Login to NAPIS SRT
- 2 Click Analyze in the Task Bar
- 3 Choose which Yearly Comparison Report you want to use
- 4 Choose earliest report year of the comparison for Fiscal Year 1
- 5 Choose current report year of the comparison for Fiscal Year 2
- 6 Click Run Report
- 7 Click on the Export icon
- 8 Save the report on your c: drive
- 9 Send email to DAIL SUA and attach report

- 10 Attach an SPR Variance Explanation Report of any changes greater than 10%

Service Unit and Expenditure Report

- 11 Login to NAPIS SRT
- 12 Click Analyze in the Task Bar
- 13 Choose Service Unit and Expenditure Report
- 14 Choose current report year FFY
- 15 Click Run Report
- 16 Click on the Export icon
- 17 Save the report on your c: drive
- 18 Send email to DAIL SUA and attach report
- 19 Attach an SPR Variance Explanation Report of any changes greater than 10%

National Family Caregiver Support Program

- 20 Login to NAPIS SRT
- 21 Click Analyze on the Task Bar
- 22 Choose National Family Caregiver Report Program
- 23 Choose current report year FFY
- 24 Click Run Report
- 25 Click on the Export icon
- 26 Save the report on your c: drive
- 27 Send email to DAIL SUA and attach report

Submitting Report from AAA to State

1. After entering all manual data and validating the report you can submit to DAIL
2. Login to NAPIS SRT
3. Highlight the report you want to submit
4. Click the submit button (this allows DAIL to see the report)

Requirements for Area Agency on Aging Review of NAPIS SPR Reports

- A. Once the required data have been entered into SAMS, the AAA must conduct an internal review of the data, which must include a comparison of the data reported in the prior FFY, including the core demographic, programmatic and financial data. After the AAA has entered its data in SAMS (including expenditures, etc.) for the year, the following reports must be run from the NAPIS SPR Reporter:
 1. New NAPIS SPR report (from SAMS data to generate new NAPIS SPR FY Report, and enter all manual data in this report).
 2. From the Analyze Reports section of the NAPIS SPR Reporter run:
 - i. Yearly comparison;
 - ii. National Family Caregiver Support Program; and
 - iii. Service Unit and Expenditures report.

Once the NAPIS SPR report has been run, the AAA shall run the reports listed above again, review and revise them until the AAA is confident that the NAPIS SPR report is correct. AAA reviewers shall look

closely at increases and decreases of 10% or greater in people served, units or expenditures for possible necessary revisions to the report. AAAs must also review their reports and identify those data sets where there is 10% or greater missing data. The AAA shall submit the NAPIS SPR report along with copies of the final reports to DAIL. In addition, for any aspect of the reports submitted to DAIL that includes increases or decreases of 10% or greater, or 10% or greater missing data, the AAA shall attach a narrative providing an explanation for the increase, decrease, or 10% or greater missing data, including for missing data, the AAA's plans to achieve under 10% missing data.

AAA staff familiar with the history of the various programs and services being reported shall review data, including expenditures and service units. If any discrepancies are identified, the AAA will be responsible for investigating the cause of the discrepancy(ies) and making any necessary corrections **before submitting the NAPIS SPR report to DAIL**. If the AAA manually enters any data into SAMS (including modifications to SAMS NAPIS SPR raw data), these changes must be described on the AAA Reporting Verification Form, including the alternative data source or methodology.

- B. The AAA Executive Director or designee shall review the data for the AAA before submission to DAIL, including a comparison of the data for the current year to the data for the previous year and all other reports described in Section A above.

AAA validation of NAPIS SRT data

If there were no manual additions or corrections to the data, the data would be internally and logically consistent. However, because all the data needed for reporting is not maintained within SAMS, some data must be entered manually into the NAPIS SPR reports. This means that AAA data management staff, program staff, and fiscal staff must review and validate relevant data elements.

Examples of data that is currently entered manually by Vermont AAAs:

- service expenditures and program income (page 22 section IIA)
- service units for congregate meals and for home delivered meals (page 22 section IIA)
- service units for information and assistance (page 22 section IIA)
- staffing profile (page 28 section III)

Each AAA must run NAPIS SPR reports from their own database, and validate their own data. There is a Validate Report button in the NAPIS SRT which will validate that the data is internally and logically consistent. A NAPIS SPR report cannot be submitted until the report is electronically validated. Once validated, each AAA must submit the NAPIS SPR report via the submit button in NAPIS SRT. This will automatically show the submitted report in the DAIL NPS SRT. DAIL rolls up the individual AAA reports into a state report, reviews and validates and verifies the data, and submits the report to ACL via the submit button in NAPIS SRT.

During the course of the year, AAAs are expected to check the data on a regular basis to ensure that the AAA is keeping up with data entry and that the data are complete and accurate. The NAPIS SPR consumer listing report can be used to identify people missing NAPIS SPR data. There are a host of additional service reports that can be run in SAMS to check for complete and accurate data.

SECTION V. DAIL NAPIS STATE REPORT PROCEDURE DETAIL

- A. Upon receipt of each AAA NAPIS SPR Report, the DAIL State Unit on Aging (SUA) will coordinate the NAPIS report review committee including DAIL staff from the Policy, Planning and Analysis Unit (PPAU) and Business Office (BO). The State Unit on Aging Director or designee is responsible for involving other DAIL staff as appropriate in this process.

DAIL State Unit on Aging (SUA) Director or designee will send a comprehensive summary of all discrepancies or questions to the AAA Executive Director for clarification or resolution. Any changes to the AAA NAPIS SPR Report will be made with the approval of the AAA Executive Director. A revised NAPIS SPR, Yearly Comparison, National Family Caregiver Support and Service Unit and Expenditure report will be run and submitted by the AAA to DAIL SUA along with the narrative explanation via email to: Angela Smith-Dieng (Angela.Smith-Dieng@vermont.gov).

Upon receipt of the revised AAA report and narrative, SUA will coordinate the NAPIS report review committee for a second review. The State Unit on Aging Director or designee is responsible for involving other DAIL staff as appropriate in this process.

- B. Once all discrepancies/questions have been resolved for each AAA, the SUA shall submit the State NAPIS SPR to the ACL and work with ACL staff to achieve the final federal approval of the State Report. This shall represent the final NAPIS SPR data for each AAA at both the state and federal levels.

Running/submitting/exporting NAPIS and analysis reports

Running a state rollup NAPIS SPR Report (done by DAIL SUA Staff) - as above note these instructions may vary slightly with the release of SRT 3.1.

- A Login to NAPIS SRT from the Harmony portal
- B Click on State Program Reports
- C Click on New
- D In the report source box, click on Rollup Report
- E In the Fiscal year box, choose the FFY for the report
- F Enter the report name (example State Rollup FFY 2016 1st)
- G In the Select Reports box, choose the most recent report from each AAA.
- H In the comments box, type in a description of the report such as State Rollup FFY16 1st run
- I Check the box to copy accomplishments if you want to copy accomplishments from previous year as a base for the current year
- J Click OK
- K Save the report

Run Analysis reports (done by AAA staff)

Yearly Comparison Report

- 1 Login to NAPIS SRT
- 2 Click Analyze on the Task Bar
- 3 Choose the Yearly Report to run

- 4 Choose earliest report year of the comparison for 1st year
- 5 Choose current report year of the comparison for 2nd year
- 6 Choose your Agency (AAA) from the organization option
- 7 Click Run Report
- 8 Click on the Export icon
- 9 Save the report on your c: drive
- 10 Send email to DAIL SUA committee and attach report
- 11 Also attach explanation of any changes greater than 10%

Service unit and expenditure report (done by AAA staff)

- 1 Login to NAPIS SRT
- 2 Click Analyze on the Task Bar
- 3 Choose Service Unit and Expenditure report
- 4 Choose current report year FFY
- 5 Choose your Agency (AAA) from the organization option
- 6 Click Run Report
- 7 Click on the Export icon
- 8 Save the report on your c: drive
- 9 Send email to DAIL SUA committee and attach report
- 10 Also attach explanation of any changes greater than 10%

National Family Caregiver Support Program (done by AAA staff)

- 1 Login to NAPIS SRT
- 2 Click Analyze on the Task Bar
- 3 Choose National Family Caregiver Report Program
- 4 Choose current report year FFY
- 5 Choose your Agency (AAA) from the organization option
- 6 Click Run Report
- 7 Click on the Export icon
- 8 Save the report on your c: drive
- 9 Send email to DAIL SUA committee and attach report
- 10 Also attach explanation of any changes greater than 10%

Submitting Report from State to ACL (done by DAIL SUA Staff)

1. After reviewing and validating and verifying the report you can submit to ACL
2. Login to NAPIS SRT
3. Highlight the report you want to submit
4. Click the Submit button (this allows ACL to see the Final report)

SECTION VI. PROGRAMS & SERVICES REQUIRING SPECIAL ATTENTION in FFY17 and FFY18

Because services for caregivers (Sections II.B and II.C of the NAPIS Report) have provided AAAs with past confusion, the SUA is highlighting these ACL definitions below and providing examples:

Services to Caregivers:

Counseling -- (1 session per participant = 1 unit of service) Counseling to caregivers to assist them in making decisions and solving problems relating to their caregiver roles. This includes counseling to individuals, support groups, and caregiver training (of individual caregivers and families).

VT Example: The AAA provides a six-week series of Powerful Tools for Caregivers classes. 10 family caregivers attend every classes. Total units of service = 60 sessions.

Respite Care -- (1 hour = 1 unit of service) Services which offer temporary, substitute supports or living arrangements for care recipients in order to provide a brief period of relief or rest for caregivers. Respite Care includes: (1) In-home respite (personal care, homemaker, and other in-home respite); (2) respite provided by attendance of the care recipient at a senior center or other nonresidential program; 3) institutional respite provided by placing the care recipient in an institutional setting such as a nursing home for a short period of time as a respite service to the caregiver; and (for grandparents caring for children) summer camps. If the specific service units purchased via a direct payment (cash or voucher) can be tracked or estimated, report those service unit hours. If not, a unit of service in a direct payment is one payment.

VT Example: The AAA works with the family caregiver to have the care recipient spend one-day a week, 5 hours a day, for one month at a nearby Adult Day Center. Total units of service = 20 hours.

Supplemental services – Services provided on a limited basis to complement the care provided by caregivers. Examples of supplemental services include, but are not limited to, home modifications, assistive technologies (including hearing aids, canes, walkers, wheelchairs, etc.), emergency response systems, and incontinence supplies.

Units of Service:

1 one-way transportation ride = 1 unit of service

1 purchase of an assistive technology = 1 unit of service

1 purchase of Lifeline medical alert system = 1 unit of service

1 case of Ensure = 1 unit of service

1 person receiving a home modification = 1 unit of service.

[Please note that per OAA rules, the maximum amount that can be spent on home modifications for one person is \$150.00]

VT Example: The AAA helps a client install grab bars and buys the client a bath chair. Total units of service = 2.

Information Services (1 activity = 1 unit of service) -- A service for caregivers that provides the public and individuals with information on resources and services available to the individuals within their communities. [Important Note: service units for information services are for activities directed to large audiences of current or potential caregivers such as disseminating publications, conducting media campaigns, and other similar activities.]

VT Example: The AAA publishes an article about resources for family caregivers in the local paper. Total units of service = 1. Do not count readership or “hits” to publisher’s website.

Access Assistance (1 contact = 1 unit of service) -- A service that assists caregivers in obtaining access to the services and resources that are available within their communities. To the maximum extent practicable, it ensures that the individuals receive the services needed by establishing adequate follow-up procedures. [**Note:** Information and assistance to caregivers is an access service, i.e., a service that: (A) provides individuals with information on services available within the communities; (B) links individuals to the services and opportunities

that are available within the communities; (C) to the maximum extent practicable, establishes adequate follow-up procedures. Internet web site “hits” are to be counted only if information is requested and supplied.]

VT Example: A family caregiver calls the Senior Helpline for information about respite. After a few days the caregiver calls back for information about support groups. Total units of service = 2.

AAAs should contact the SUA if questions arise about how to categorize or calculate services for caregivers as outlined above.

SECTION VII. RESOURCES

NAPIS SPR Reporting Requirements

NAPIS SPR data elements, report definitions and transmittal requirements in the most recent NAPIS Reporting Requirements is available on the SRT website at: <https://www.napisdata.us/NapisSrt>. In order to access this website, you must request a login from customersupport@mediware.com if you do not already have an account.

All NAPIS AAAs are responsible for reviewing the authorizing language in the Older Americans Act for specific eligibility criteria and program requirements. For example, the OAA contains specific criteria and requirements for home-delivered and congregate (community) meals, and family caregivers. The OAA can be accessed at the ACL website: <https://www.acl.gov/about-acl/authorizing-statutes/older-americans-act>.

NAPIS SRT Manual

On the SRT website, the new SRT 3.1 Release Notes and User Guide are available. In order to access this website, you must request a login from customersupport@mediware.com if you don’t already have one.

NAPIS Service Mapping

Service mapping of SAMS services to NAPIS report categories can be found in the service map button in the NAPIS SRT. DAIL PPAU maintains the service mapping and it cannot be changed by agencies. If mapping needs to be added or modified contact PPAU.

Verification Steps During the Year- Checklist

Before each AAA runs its NAPIS SPR report, the AAA must complete the following tasks:

Check	Tasks
	Run SAMS NAPIS SPR consumer listing (in the SAMS Consumer reports) periodically (e.g. quarterly) during the year to identify those clients who are missing the data items of special interest to ACL: age, sex, ADLs, poverty, race, ethnicity, nutritional risk, and rurality. Missing data can be entered correctly into the individual ILA, or manually into the NAPIS SPR characteristics of the client detail in SAMS.
	Be sure all NFCSP (Family Caregiver) services have a care recipient associated in the service delivery record.
	Be sure all grandparent caregivers in SAMS are associated with a care recipient under age 18 (or over the age of 18 with a disability). If this is missing, NAPIS will not count these caregivers as grandparents. Also, grandparent expenditures cannot be more than 10% of the overall Title III E expenditures. Also the care recipient over the age of 18 must have “is disabled” choice as “yes”
	Be sure you enter all group NFCSP services (e.g. training) under consumer groups, service delivery

	in SAMS.
	Be sure dementia respite data is entered in SAMS and a care recipient is associated in the service delivery record. Dementia Respite service will show as NFCSP caregiver services in NAPIS because we mapped this program to show as NFCSP services in NAPIS. The expenditures will show as ‘other’ and not as ‘NFCSP’, so we don’t need special approval from ACL to provide these services.
	Be sure that all ILAs are entered in the most recent ILA versions (VT DAIL FULL ILA 15, VT DAIL FULL ILA11 or VT INTAKE ILA11) and that all service data is entered in SAMS before running NAPIS SPR report.

Verification Steps before running the NAPIS SPR Report - Checklist

In preparing NAPIS SPR reports, each AAA must complete the following tasks:

Check	Tasks
	Enter expenditures and program income received in NAPIS SPR categories in Section IIA. The AAA business office must supply the expenditure figures, which must be entered following the template distributed by DAIL. (see attached expenditure template)
	If manual changes to client data are made to Section IIA, make appropriate changes to client characteristics in section IB, IC, and ID. This will reflect changes in client counts for the specific service(s), as required by the ACL data verification software. Make sure that the total number of registered clients in IB equals the total number of registered clients in IA.
	Enter service units for congregate meals and home delivered meals in Section IIA.
	Check that the number of providers and the number of AAA direct service provision are correct (Section IIA). Manually enter changes if needed. For example, case management providers for the AAA should be 1 (the AAA itself), not the number of individual case managers.
	Enter expenditures and program income received in NAPIS SPR categories for NFCSP caregivers (using data from the AAA business office) in Section IIB.
	Check that the number of caregiver providers is correct and manually change if needed - Section IIB.
	Check that the number of caregiver clients is correct in Section IIB. Each AAA can run a SAMS caregiver clients report for verification.
	If manual changes are needed to caregiver client counts, be sure that section I.E is adjusted accordingly. I.E. if caregiver clients were added to Section IIB they must also be added to section I.E in the correct characteristic category- even if that is missing age, poverty, gender, etc.
	Enter expenditures and program income received in NAPIS SPR categories for NFCSP grandparents (get this data from your business office) in Section IIC.
	Check that the number of caregiver grandparent clients is correct in Section IIC. Each AAA can run a SAMS caregiver grandparent clients report for verification. To do this, each AAA will have to create its own service report for this by using the service delivery consumer listing report in SAMS and entering its own criteria for dates and services etc.
	If manual changes are needed to the number of caregiver grandparent clients be sure that sections I.F is adjusted accordingly, i.e. if caregiver clients were added to Section IIC they must also be added to section I.F. Put them in the correct characteristic category even if that is missing age, poverty, gender, etc.

	Enter expenditures for elder abuse prevention in Section IID.
	Enter staffing profile data in Section IIIB. AAAs must be sure totals add correctly.
	Check the accuracy of provider characteristics (minority and rural) in Section IIIC.
	Enter the number of community focal points and senior centers in Section IIID.
	Enter accomplishments in Sections IVA and IVB.
	If data in SAMS was changed after the NAPIS SPR report was run (such as associating care recipients with caregiver services, or entering caregiver consumer groups, or entering more ILAs), the report must be rerun to capture this information. If manual changes to the NAPIS SPR report were not associated with data in SAMS (such as expenditures, providers etc) the NAPIS SPR report does not need to be rerun.

Verification Steps after running the NAPIS SPR Report- Checklist

After running NAPIS SPR reports, each AAA must complete the following tasks:

Check	Tasks
	Run the Verify Report option in the NAPIS SPR Reporter. This will identify inconsistencies (e.g. services without expenditures). Any necessary corrections must be made before submitting the report. The report must fully pass the verification tests before submission to DAIL.
	If any manual data corrections are made, repeat steps in the previous section to be sure the data is consistent.
	After verifying that the data is correct and consistent, use the export button in the NAPIS SPR reporter to create a file to send to DAIL. Send the file to DAIL (Marie Bean) as an attachment to an email. (The file contains no confidential client data, so this does not breach confidentiality.)

Acronyms

- AAA** **Area Agency on Aging**
- ACL** **Administration for Community Living** (formerly known as AoA-Administration on Aging). This is the federal agency that funds and monitors AAA services through the NAPIS reporting requirement.
- NAPIS SPR** **National Aging Program Information System State Program Report.** This is the federally required annual NAPIS Report
- NAPIS SRT** **National Aging Program Information System State Reporting Tool.** This is the software used to create the NAPIS SPR.
- DAIL** **Department of Disabilities, Aging and Independent Living.** This is the Vermont Department responsible for Long term care (LTC) programs including Older Americans Act programs reported through NAPIS.
- SUA** **State Unit on Aging.** This a unit within DAIL responsible for oversight and support of AAAs.
- PPAU** **Policy, Planning and Analysis Unit.** This is a unit within DAIL (formerly known as DPU) responsible for technical support of SAMS and NAPIS.
- OAA** **Older American Act.** This is the federal law regarding services to older people.
- ADC** **ACL Data Community.** This is a web portal for ACL that provides information and updates on ACL activities including all NAPIS reporting requirements, definitions and report specifications.
- SAMS** **Social Assistance Management System.** This is the case management software used by DAIL and AAAs to manage their clients and to track data needed for the NAPIS SPR.

BO
NFCSP

Business Office. This is a unit within DAIL that deals with financial issues.
National Family Caregiver Support Program. This is a program defined by the ACL to provide services for caregivers.