

The New York State Office for the Aging

AGING SERVICES NETWORK

Final Project Evaluation Report

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EXECUTIVE SUMMARY

The Aging Services Network (ASNet) is an ongoing project of the New York State Office for the Aging (SOFA). It was initiated by a Telecommunications and Information Infrastructure Assistance Program (TIIAP) grant from the National Telecommunications Infrastructure Administration (NTIA), United States Department of Commerce, which extended from October 1995 to April 1999. This report describes the project and presents the results of its evaluation which was conducted by the University at Albany, State University of New York.

Setting

Human services in New York State are generally provided through county governments and the City of New York. To serve the state's 3.1 million elderly¹ the New York State Office for the Aging (SOFA) has developed a network of 59 Area Agencies on Aging (AAAs) that covers 62 counties and two Indian Reservations. These AAAs vary considerably in terms of the size of the population they serve, their available resources and their level of automation. In turn, they rely on over 1,000 local providers such as senior centers, non-profit agencies and other community-based groups to provide such services as home delivered meals, transportation and in-home care. Nationally the aging services network is comprised of 57 State Units on Aging, 670 AAAs and over 27,000 aging service providers serving the country's 33.2 million elderly -- the fastest growing population segment in the nation.²

To serve elderly clients more efficiently and effectively SOFA, working with governmental and corporate partners, developed the Aging Services Network (ASNet), a telecommunications infrastructure initiative to enhance service coordination and information sharing. During that time the project name, ASNet, came to encompass all of the ongoing computerization and communication initiatives being implemented by SOFA.

Results

In brief, ASNet accomplished the following:

- Provision of Internet access and email addresses for all SOFA staff with the prerequisite policy, server, firewall, desktop, software, telecommunications and training upgrades.
- Establishment of Internet access and email addresses for 53 of the 59 AAAs including approximately 150 service-provider sites of the New York City Department for the Aging.
- Development of four websites (with a fifth underway) at SOFA including the necessary support systems such as policies, servers, firewalls, telecommunications, software,

¹ NYS residents aged 60 and older in 1997 according to the U. S. Bureau of the Census.

² US residents aged 65 and older in 1994 according to the U. S. Bureau of the Census.

training, management and oversight, and content development and maintenance. The websites are designed to meet the needs of older New Yorkers, family caregivers, grandparents raising children, and professionals and students in aging and deliver information on topics such as programs and services, resources, health and wellness, health insurance, and housing. These sites were viewed by an average of approximately 1,000 visitors per week during the first quarter of 1999.

- Increase in the number of AAA websites from three to 23.
- Improvement of the Provider Data System and Uni-Form software based on user testing and feedback. These changes provided greater functionality, usability and ease of installation as requested by users. The ability to securely transmit client records via email was incorporated into the PDS software.
- Investment of staff resources devoted to software testing to ensure that software meets acceptable standards before it is released to users. Procedures were developed to test and track corrections to specific features.
- Issuance of guidelines to assure that adequate plans and resources are committed by AAAs before they embark on the implementation of ASNet and PDS. These guidelines stressed the following requirements for successful implementation:
 - Computer technical assistance must be available at the local level.
 - Local project management must be clearly defined and adequately staffed. There should be a local structure for planning, implementation and management; a project manager; and a systems technical support coordinator.
 - Those involved in the project must be aware of the extent of the change they envision as well as the pace of change their resources can support.
 - An implementation plan should be written that describes in detail the first year of implementation; the current system and process, job responsibilities; an implementation time line; and resources needed.
- Creation of inter-governmental and public-private partnerships that provide funding, technological expertise, and content knowledge to support and enhance various components of the ASNet project.
- Commitment of resources from SOFA and its partners to provide critical support and technical assistance to AAAs.
- Implementation of the Provider Data System with its built-in connectivity features in 314 provider sites in New York City and 19 AAAs in upstate New York.
- Experimentation with the use of laptop computers to conduct in-home assessments for the frail elderly in two upstate counties.

OVERVIEW OF THE PROJECT

Introduction

Human services in New York State are generally provided through county governments and the City of New York. To serve the state's 3.1 million elderly³ the New York State Office for the Aging (SOFA) has developed a network of 59 Area Agencies on Aging (AAAs) that covers 62 counties and two Indian Reservations as shown in Figure 1. These AAAs vary considerably in terms of the size of the population they serve, their available resources and their level of automation. In turn, they rely on over 1,000 local providers such as senior centers, non-profit agencies and other community-based groups to provide such services as home delivered meals, transportation and in-home care. Nationally the aging services network is comprised of 57 State Units on Aging, 670 AAAs and over 27,000 aging service providers serving the country's 33.2 million elderly -- the fastest growing population segment in the nation.⁴

To serve elderly clients more efficiently and effectively SOFA, working with governmental and corporate partners, developed the Aging Services Network (ASNet), a telecommunications infrastructure initiative to enhance service coordination and information sharing. ASNet was supported by a Telecommunications and Information Infrastructure Assistance Program (TIIAP) grant from the National Telecommunications Infrastructure Administration (NTIA). The two-year grant, which began in October 1995, was extended through April 1999.⁵ During that time the project name, ASNet, came to encompass all of the ongoing computerization and communication initiatives being implemented by SOFA. This report addresses the particular activities funded by the TIIAP grant as well as the broader ASNet project.

³ NYS residents aged 60 and older in 1997 according to the U. S. Bureau of the Census.

⁴ US residents aged 65 and older in 1994 according to the U. S. Bureau of the Census.

⁵ The funding from TIIAP remained the same; only the time period for the grant was extended.

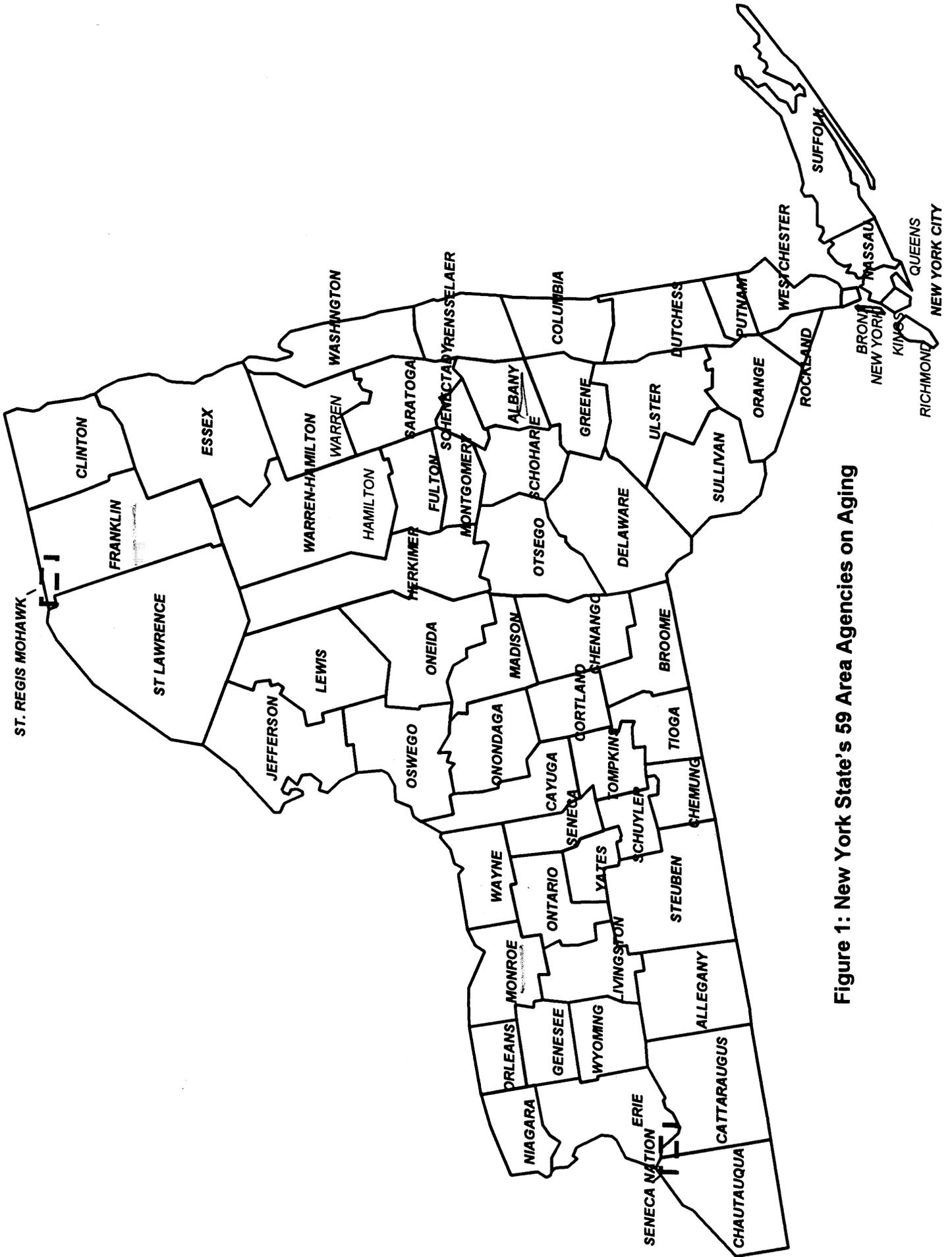


Figure 1: New York State's 59 Area Agencies on Aging

ASNet was designed to accomplish the following goals:

1. Demonstrate connectivity with Internet access and gateways for interconnectivity at the state, local area agency on aging (AAA) and provider levels through Local Area Networks and Dial-Up Point-to-Point Protocol Internet accounts.
2. Establish a Home Page on the World Wide Web to provide end users, including the elderly and their caregivers, convenient access to a wide body of program information.
3. Establish electronic linkages among local aging service providers for sharing client, service and program information and explore the value of remote connectivity through the use of notebook computers so that field workers can serve the homebound elderly more effectively.

The Problem

The elderly, and people who work to help them, were not fully utilizing currently available information infrastructure. This lack of access was viewed by state officials as undermining the ability of the state and localities to adequately respond to the rapidly expanding elderly population. At the same time, the state and local governments faced increasing demands to provide more social and health services to the frail elderly. To help address this demand, they felt it was critical to exchange and integrate client information, streamline the service delivery system, and improve direct access to information for the consumer. This would help control the growth in public expenditures while serving the elderly population more efficaciously. That the elderly population is this nation's fastest growing population segment underscores the importance of efficiently and effectively addressing the needs of this population segment.

To do this, aging service workers would need timely and comprehensive information about the clients they serve and the services available. Elderly individuals and their caregivers would need independent access to information about services, without having to rely on aging services workers to act as information brokers. This would also free workers to spend time with those in greatest need, particularly the homebound. Providers serving the same client would need access to shared data to reduce duplication of effort.

How ASNet Addressed This Problem

With a grant from the U. S. Department of Commerce under the Telecommunications and Information Infrastructure Assistance Program (TIIAP), the ASNet project created a telecommunications and information infrastructure for the New York State Office for the Aging (SOFA), its 59 local Area Agencies on Aging (the local government agencies designated by the State of New York to administer aging services funds) and their network of providers. AAAs range in size from small rural county offices for the aging, and two Indian Reservation AAAs, to the New York City Department for the Aging, the largest AAA in the nation. Together, the State Office, its AAAs and over 1,300 local service provider agencies serve New York's population of over 1 million family and informal caregivers and 3.1 million elderly individuals. The AAA is responsible for managing aging service delivery systems in its

service area, typically a county, and for planning and coordinating all services for the elderly within its area including those under the auspices of other state, and private profit and non-profit agencies. As such, AAAs are the central local focus for aging services throughout the state.⁶ AAAs were assisted by SOFA to develop Internet connectivity for email and file transfer communications, for access to State Office website information services, and for developing local websites. Connectivity included leased line access via local government WANs, and for a majority of AAAs, dial-up accounts via local Internet Service Providers (ISPs). In addition SOFA's LAN was largely rebuilt and connected to the Internet via a firewall and partial T1 leased line, and desktop computers were upgraded to Pentiums running Windows 95.

TIIAP funds were used to integrate telecommunications information infrastructure with New York's emerging Aging Services Client Based Service Management System (CBS) initiated in 1994. CBS, which is an ongoing project, was designed to help aging services workers integrate and better manage a multitude of aging services, including information and referral, benefit screening and application, case management and service delivery by developing and making available software programs and systems. The goals of CBS are to use information more effectively to support decision making at the state and local levels, better serve clients, reduce duplication, ease reporting, strengthen advocacy, and create partnerships. CBS envisioned the following:

- Aging services workers use systems and software to collect information, develop care plans, provide services, and evaluate outcomes.
- Client information is collected only once but serves multiple purposes: initial screening, long-term care assessment, service delivery, and application for multiple benefits.
- State and local agencies use computer software and networks to automatically create and exchange reports, and share documents, data and other information resources.
- Client-based data enables more effective service management, analysis, research, and advocacy.

The vision for CBS evolved over time. Initially it focused on the integration of data from all programs to serve multiple purposes, as illustrated in Figure 2. Later versions of the vision took into account more explicitly the role of aging services workers, their interaction with clients, and the electronic connectivity between various service providers, AAA, and SOFA (see Figure 3).

⁶ More information about New York State's Area Agencies on Aging can be found in the publication entitled *Senior Citizen Resource Guide* available from the New York State Office for the Aging or <<http://www.aging.state.ny.us/findhelp/guide/index.htm>> : Information is also available from the New York State Association of Area Agencies on Aging <<http://www.nysaaaa.org/index.htm>> .

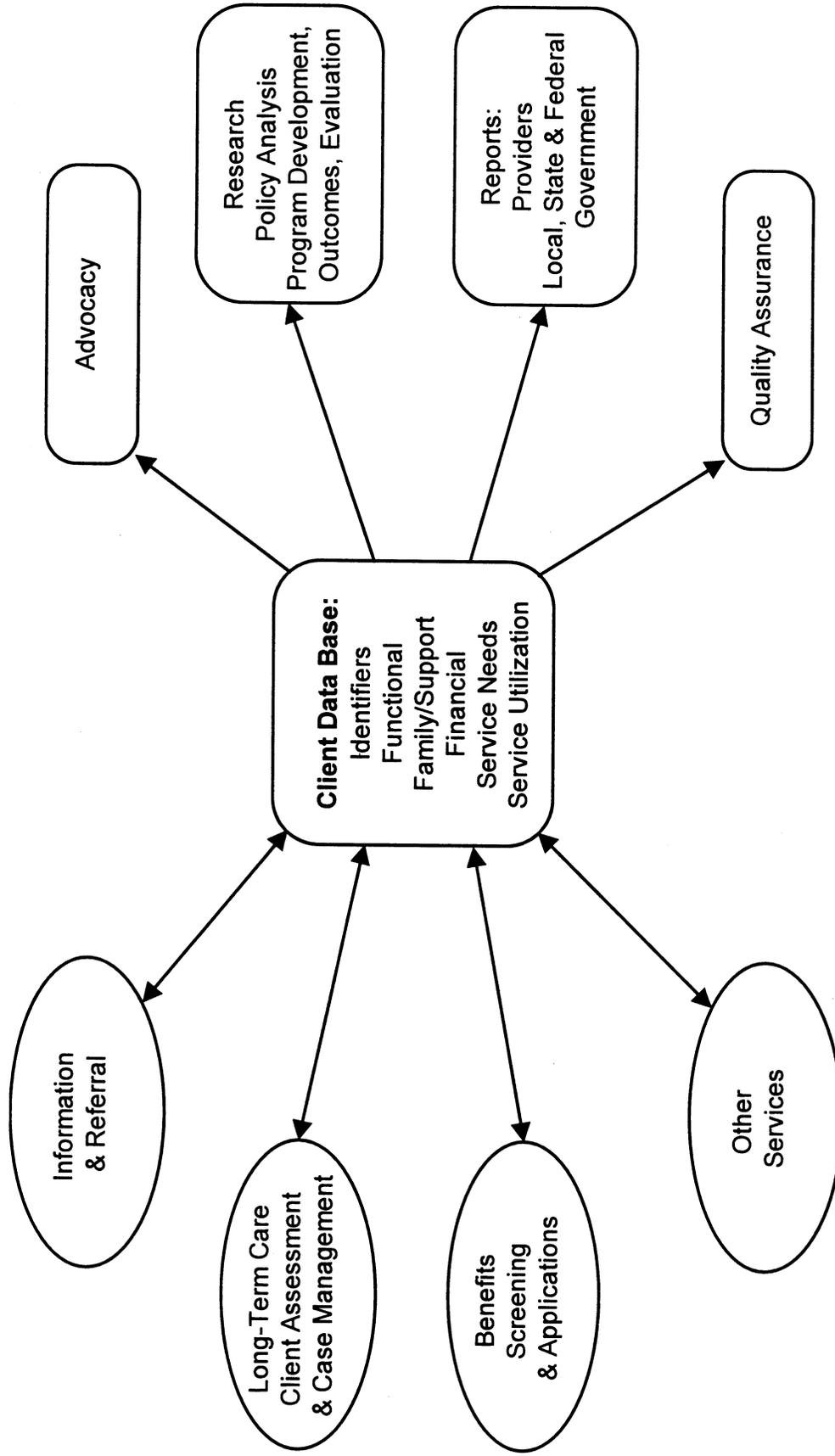


Figure 2: Vision for an Aging Services Network Client Based Service Management System

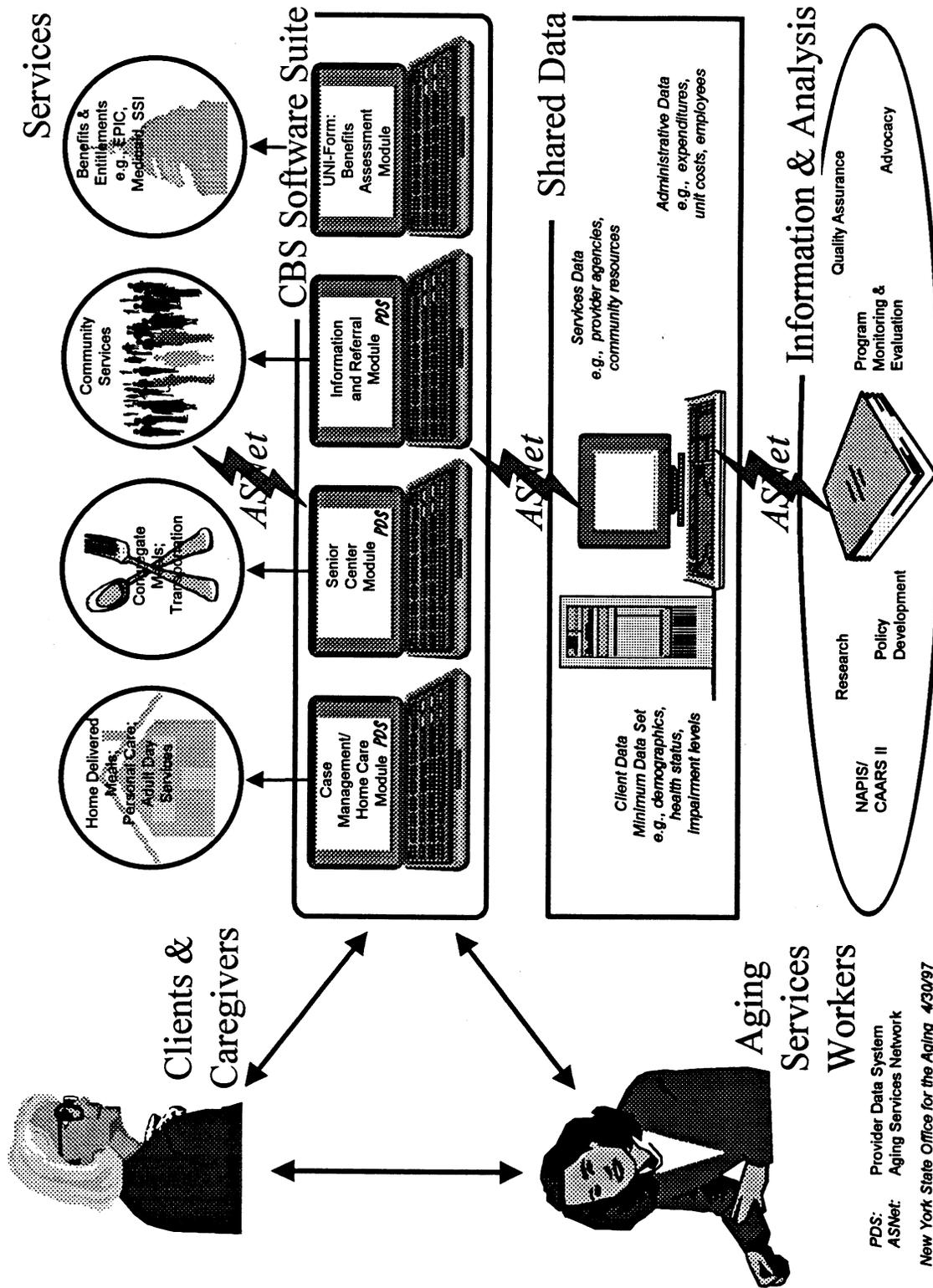


Figure 3: Vision for an Aging Services Network Client Based Service Management System (April 1997)

The telecommunications information infrastructure supported by TIIAP was designed to enable staff to access (as appropriate considering privacy issues) the client, service and program data that CBS contains, as well as enhance communication between field and central office staff. In addition TIIAP funds enabled the development of a home page on the World Wide Web to provide information to the elderly, their care givers, and service providers.

ASNet as a national model

The "aging services network" is not limited to New York State; it is a formal system which spans the country. It consists of government, non-profit and private agencies and their advisory committees and other volunteers in every community. These agencies contract with the Area Agencies on Aging (AAA) - the planning and direct service agencies whose mission is to develop and coordinate community wide systems of services for the elderly. The AAAs are primarily funded by State Offices for the Aging, which receive funding and direction from the U.S. Administration on Aging. Consequently the experience gained in New York's ASNet project potentially has broad applicability to the country's 57 State Units on Aging, 670 AAAs and over 27,000 aging service providers.

Partners

TIIAP funds leveraged federal, state and local government and private corporate investments to build the infrastructure and develop information resources. The ASNet project served as the glue that integrated pre-existing software and computer systems development projects with the application of advanced telecommunications. Together, these projects attracted and involved several public and private partners: the New York City Department for the Aging, New York State Association of Area Agencies on Aging, New York State Department of Taxation and Finance, United States Social Security Administration, United States Administration on Aging (AoA), National Association of State Units on Aging (NASUA), National Association of Area Agencies on Aging, and private corporate partners in the communications, pharmaceutical and housing industries. Partners were invited to participate through advertisements in the New York State Contract Reporter, New York State's official weekly listing of bidding opportunities. For a sample advertisement see Figure 4. More information about these partners can be found at www.aging.state.ny.us/partners.

The New York State Office for the Aging is developing the Aging Services Network (ASNet) to demonstrate new ways of applying computing, telecommunications and information infrastructure (TII) to the human service industry. Specifically, the project will use information systems to address the practical problems of information management and delivery of services to the elderly. The Office seeks corporate partners to support the development and demonstration of advanced telecommunications for the State's 59 local offices for the aging, 1300 aging service providers, and the national network of state and local community service providers. In particular, this office wants to investigate several uses for technology: 1) the use of wireless communications in serving the elderly homebound, 2) the use of public access kiosks to improve access to government information, and 3) connectivity among multiple service providers to achieve a greater degree of service integration. Corporations can help through direct funding, loans or contributions of Internet and local infrastructure connectivity, hardware, software, training and consulting services. Partners will derive two major benefits from their contributions: 1) recognition as a leader in the development of a major human service information network which has national applicability and 2) expanded access to the mature market in New York State, including media coverage and corporate partner recognition on our Home Page or a topic oriented Web Page. Requirements: Telecommunications companies, computer hardware/software companies, network systems corporations.

Figure 4: Sample advertisement from the *New York State Contract Reporter*

Project organization

The project organization involved staff in each of SOFA's divisions who were given specific ASNet responsibilities as well as a number of external stakeholders such as the Association of Area Agencies on Aging and partners such as the New York City Department for the Aging. The ASNet project organization chart is shown in Figure 5; a depiction of the various activities comprising ASNet and the various partners involved is given in Figure 6. As the project progressed ASNet activities became more and more integrated with the ongoing work performed by SOFA staff

**New York State Office for the Aging
Aging Services Network (ASNet)**

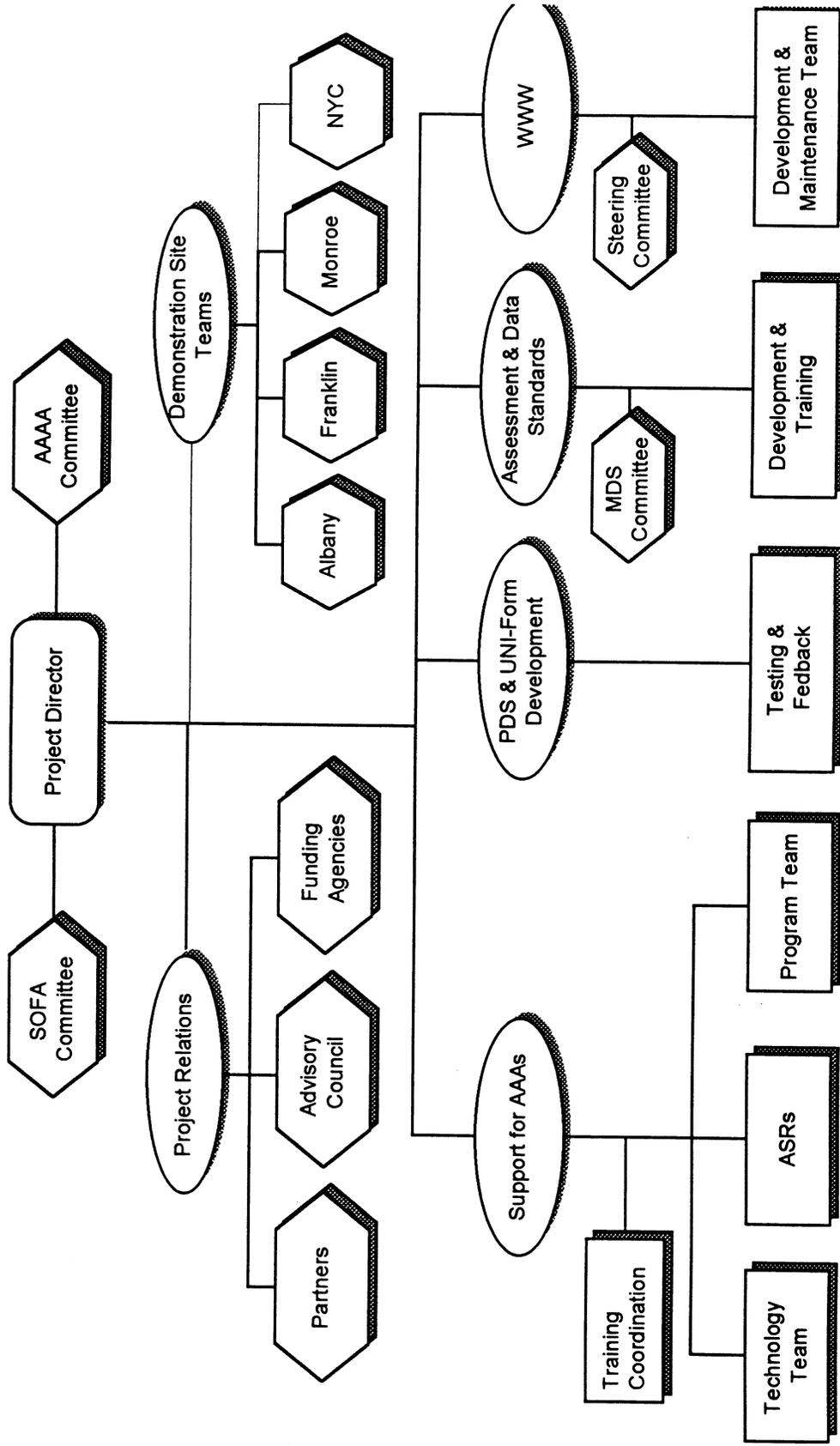


Figure 5: ASNet Organization Chart

ASNet Development

New York State Office for the Aging

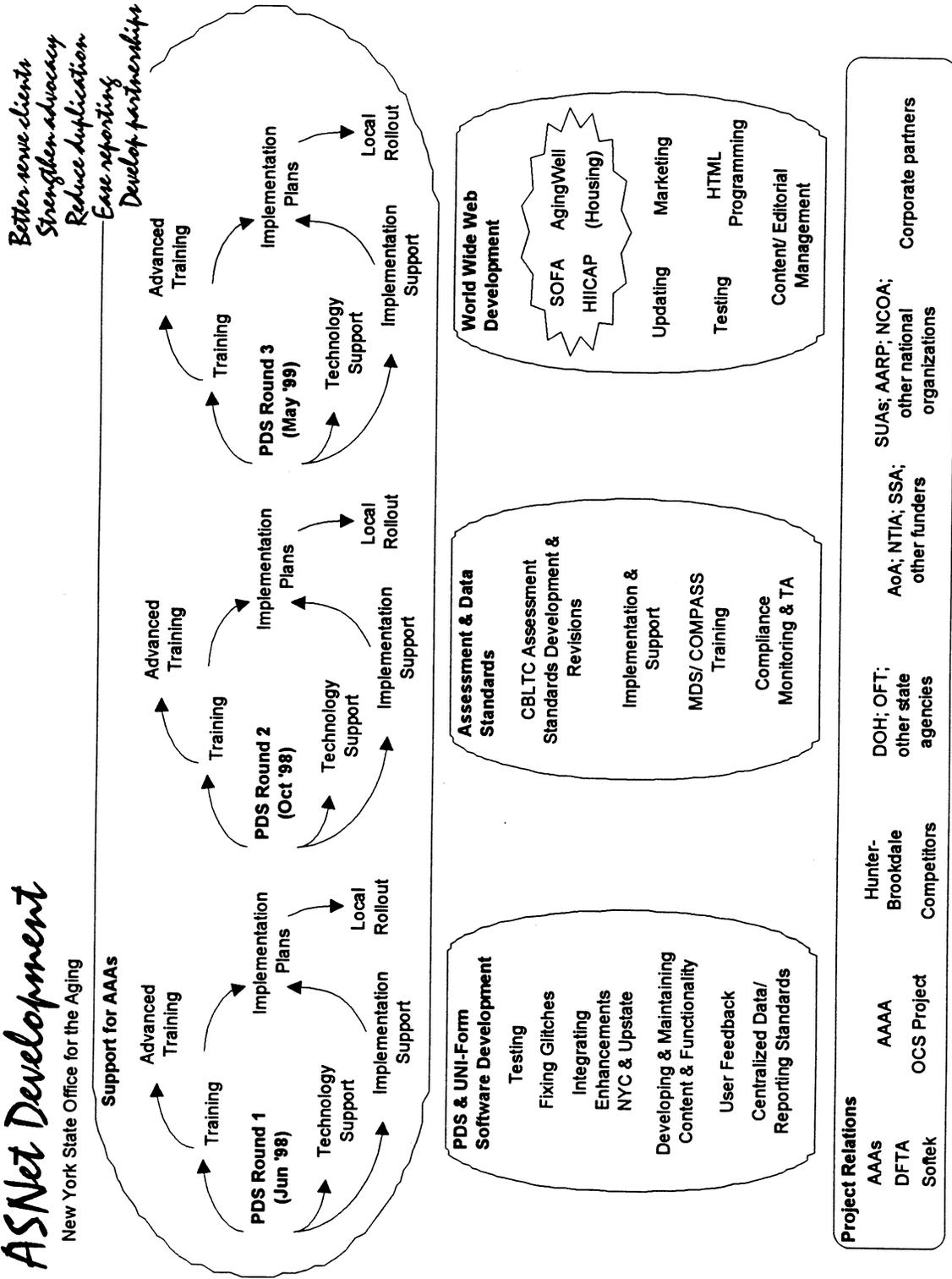


Figure 6: ASNet Project Activities

Cross-Cutting Issues

A number of cross-cutting issues had to be addressed to implement the ASNet project. It is likely that these issues would have to be addressed by any State Unit on Aging and its AAAs. In brief, these issues were:

Security and privacy

Security of information and systems, and privacy of client data is required when using Internet, cellular and other forms of telecommunications.

- Internet connectivity - security and client data privacy issues had to be addressed prior to connecting LANs and WANs to the Internet
- Access to information resources - security of computer servers hosting WWW information services had to be ensured prior to implementation
- Sharing client, service and program information - the privacy of client data among and between community provider agencies, and the security of data bases and telecommunications including remote access had to be ensured prior to implementation

These security and privacy issues were addressed in the following ways:

- A white paper was commissioned to increase the organization's knowledge of the issues
- A security and privacy policy was developed to guard the confidentiality of data (see Appendix 1)
- A firewall was installed before connecting the SOFA LAN to the Internet
- Encryption was built into the PDS software for telecommunications of data

Hardware and software infrastructure

Infrastructure must be capable of supporting and sustaining telecommunications. Hardware and software upgrades and replacements were required at all levels, and new management and budget approaches had to be developed to cope with the rapid pace of technology changes.

- Internet connectivity - computers capable of running the latest Internet browser and email software were required to enable Internet usage
- Access to information resources - special computer and software setups were required to enable development of World Wide Web information services
- Sharing client, service and program information - required installation of client-server networks by AAAs and providers

SOFA took a number of measures to meet these hardware and software requirements:

- Resource development via private-public partnerships and private donations
- Incorporation of new budget requests and ongoing budget lines for infrastructure
- Utilization of in-kind and paid outside consultants to import new knowledge and expertise
- New generic and targeted training programs for users

- Changes in staffing and staff responsibilities to utilize existing organizational capacity
- Developed an internal acceptable use policy to guide SOFA staff regarding use of the Internet (see

Changing the way of doing business

Changing the way of doing business -- by using telecommunications and information infrastructure, and smart software -- required a special and extensive commitment to promotion and information dissemination targeting decision makers, key stakeholders and front-line workers

- Internet connectivity - stakeholders from top executives to front-line workers required full information on the potential and tools of the Internet to create "buy-in" and to overcome inherent resistance to organizational change
- Access to information resources - top executives and program managers required full information and hands-on experience and understanding of the unique nature, role and value of World Wide Web information services to the organization and its clients
- Sharing client, service and program information - changing the way services are delivered required the most intensive information and promotional initiatives targeted to front-line staff responsible for implementing new technologies to improve service delivery operations

SOFA engaged in a number of activities to address these issues:

- Formal schedule of internal briefings and hands-on experience to introduce new technology
- Formal program and schedule of promoting and exhibiting new technology at conferences
- Internal agency teams to address implementation issues
- Targeted promotion and information briefings for the network of AAAs
- Formal organizational communication lines to key decision makers and project partners

Evaluation overview

Evaluation of the project was contracted to the University at Albany, State University of New York. This report presents an overview of the entire ASNet project as well as the results of the evaluation effort.

Evaluation feedback and program improvement

Evaluation feedback was critical to making effective program changes and to support decision making regarding the continuation and expansion of ASNet. A variety of evaluation feedback mechanism were used such as:

- Joint reviews with the ASNet demonstration sites (Albany, Franklin and Monroe counties and New York City) regarding staffing, equipment, prototype software applications, training, organizational and system design issues;
- Review of access to and use of the Internet by AAAs including communications between AAAs and SOFA staff; and

- An assessment of SOFA's WWW services from both operational and outcome perspectives.
- Internal assessment of SOFA's technology infrastructure to formulate and implement a strategic plan to further support and strengthen agency operations including Internet connectivity and Internet/intranet information services; and,

The results of these efforts fed directly into discussions within SOFA and its government partners, in particular the New York City Department for the Aging and the Association of Area Agencies on Aging, regarding the expansion and continuation of the various ASNet project components. Timely feedback on improvement opportunities was critical to decision making during project implementation.

SOFA's program managers have indicated that the ASNet project contributed, either directly or indirectly, to

- Continuation funding from federal, state and local governments and private partners for ASNet project goals and objectives;
- Upgrades of PDS software incorporating improvements in telecommunication of client data;
- Expanded PDS training and support for AAAs and providers increasing the number of PDS users upstate from 3 to 20 AAAs, and in New York City from 100 to 150 providers;
- Strengthened support from SOFA to the 20 upstate sites including assistance on system design and implementation, and training;
- Gaining new corporate partners as well as continued commitments from existing corporate partners;
- Redirection of UNI-FORM software development to meet customer requirements based on feedback from beta-test sites;
- Provision to all SOFA staff of desktop access to the WWW -- this involved a major infrastructure initiative in late 1998 to replace all -386 and -486 desktop computers with Pentiums and DOS-based software to Windows 95-based software;
- Provision to all SOFA staff of Internet email integrated with LAN email -- building on the hardware and software initiative described above, this involved installing a new desktop email client that readily addresses Internet as well as LAN-based email;
- Growth of SOFA Web information services by the addition of three new sites in addition to the SOFA Homepage <aging.state.ny.us>: Health Insurance Information, Counseling and Assistance <hiicap.state.ny.us>; Aging Well Village for Mature Adults <agingwell.state.ny.us>; and AAA Desk <aging.state.ny.us/aaa>. By the spring of 1999 a new site on housing was under development.

Report organization

The report is organized in three sections. The first, "Internet connectivity," addresses the first goal of the ASNet project:

Demonstrate connectivity with Internet access and gateways for interconnectivity at the state, local area agency on aging (AAA) and provider levels through Local Area Networks and Dial-Up Point-to-Point Protocol Internet accounts.

The project overcame a number of technology barriers to establish Internet email communications and access to the World Wide Web for all of the state office staff and nearly all (53 of 59) of the local Area Agencies on Aging.

The second section, "Access to information resources," addresses the second goal:

Establish a Home Page on the World Wide Web to provide end users, including the elderly and their caregivers, convenient access to a wide body of program information.

Development of SOFA "Home Page" met with early success and attracted the support of additional corporate partners who have provided approximately \$300,000 in financial support as well as technical and content resources.

The last section of the report, "Sharing client, service and program information," addresses the last goal:

Establish electronic linkages among local aging service providers for sharing client, service and program information and explore the value of remote connectivity through the use of notebook computers so that field workers can serve the homebound elderly more effectively.

This component of the project was conducted through demonstrations at four local sites. A variety of implementation problems prevented the achievement of the expected outcomes within the time frame of the grant. Nonetheless, the program managers learned critical lessons which have been formally incorporated into program guidance that drives the expanded project implementation. This section describes the original demonstration site plans and expected outcomes, the lessons learned, as well as the progress of the overall project.

INTERNET CONNECTIVITY

Introduction

One of the goals of ASNet was to "Demonstrate connectivity with secured Internet access and gateways for interconnectivity at State, AAA and provider levels through Local Area Networks and Dial-Up Point-To-Point accounts to enable the sharing of critical client, service and program information." This section discusses the provision of Internet connectivity for SOFA and the AAAs.

Internet Connectivity for SOFA

Establishing Internet connectivity for SOFA required a number of system upgrades and additions to SOFA's LAN such as:

- planning and evaluating alternatives for re-configuring the agency's LAN;
- installation and conversion to a new network server and network operating system ;
- replacement of outdated network interface cards in desktop computers with new cards that would work with the new network operating system;
- addition of a network switch to increase network performance;
- inclusion of redundant disk capability (RAID V) to protect against data loses or outages;
- installation of gateway software and configuration of the server to connect the LAN to Internet email;
- installation of a partial T1 line and related equipment connecting the LAN to the Internet for access to the WWW and other Internet services; and,
- installation of a firewall and development of related procedures and expertise to provide secured usage of the partial T1 line.

A private grant enabled SOFA to replace its 5- and 7-year-old 486 servers with a new Pentium server.⁷ The new server was capable of supporting web development and hosting as well as the LAN. This was a critical first step for SOFA's eventual adoption in the fall of 1998 of Windows as a desktop operating system which would enable staff to use email that complied with Internet standards and also access the World Wide Web from their desktops.

System upgrades were accompanied by the training of SOFA staff on the use of Netscape to browse the WWW and download files and for using WordPerfect Office for Internet email. Shared stations on each floor were upgraded to provide access to the WWW over the new partial T1 line. Staff were assigned related responsibilities such as: monitoring AAA Internet connectivity and maintaining an electronic mailing list for all AAAs and selected SOFA staff. A staff team, the Electronic Transmission of Documents

⁷ The grant covered \$27,000 of the \$45,000 required to implement. The Agency covered the remaining \$18,000.

Work Group, addressed technology and policy issues aimed toward expanding usage of telecommunications in place of other forms of communications between SOFA and the AAAs where appropriate. An Internet Acceptable Use Policy was adopted to guide SOFA staff regarding their use of the Internet (see Appendix 2).

Internet Connectivity for AAAs

To address Internet connectivity for the AAAs, SOFA used ASNet funding to make available dial-up accounts to every AAA in New York State for a period of one year. None of the 59 AAAs had email accounts prior to ASNet.⁸ Forty-four AAAs took advantage of this opportunity and each received at least one account. The AAAs that were selected as demonstration sites received multiple accounts. The New York City Department for the Aging, which is the state's largest AAA, was provided with 100 accounts for use by provider agencies. Technical assistance was provided as necessary to install and configure modems and software. The opportunity for hands-on training was provided to two people at each AAA or provider with an account. SOFA staff also received hands-on training. Accounts were established between April and June of 1997 and expired one year later between April and June of 1998. They provided email as well as access to the World Wide Web.

Of the nine AAAs that did not establish accounts using TIIAP funding some intended to connect to the Internet but were delayed by their need to coordinate their efforts with the larger plans of their county governments. In one case a policy decision was made at the county level not to connect to the Internet.

Because there was only one email account funded in each AAA, SOFA asked that each AAA establish an email coordinator to distribute incoming email to the intended recipient. Training was provided to AAA staff in how to connect to the Internet, access the World Wide Web and use email. The following policy was communicated:

The State Office expects that the electronic communication between Area Agencies and the Office will evolve over time. To begin with, we encourage Area Agencies to use electronic mail for routine communications instead of phone calls and/or letters and State Office personnel will be encouraged to do the same. In the future, as capability grows and resources allow, we anticipate that significant documents such as reports, plans, etc., will be transmitted in an electronic format. The State Office will be seeking Area Agency input and suggestions in this area.

In June of 1997 SOFA established an electronic mailing list, "All-AAAs," to enable automatic distribution of email to all AAAs with email accounts and selected SOFA staff who work with the AAAs. By April, 1999, although the Internet accounts provided by SOFA had expired approximately one year earlier, 53 AAAs had email accounts

⁸ Although individuals at six of the AAAs had their own personal Internet accounts, which they sometimes used for AAA business, none of the AAAs had official agency Internet accounts.

maintained at their own expense and were subscribed to the list (see Table 2). Most AAAs still had only one email address subscribed, but some had established multiple subscriptions (one with 11 subscribers; one with 9 subscribers; and three with 2 subscribers). SOFA had a total of 102 subscribers, for a grand total of 173 subscribers. Further, SOFA renewed in the spring of 1999 the efforts of its Internet Communications Team (previously the "Electronic Transmission of Documents" work group) to examine the use of Internet communication tools such as electronic mailing lists for various user groups and the distribution of official documents, forms, and reports.

Before:

- SOFA had LAN-based email but did not have Internet email access; neither did any of the Area Agencies on Aging.

After:

- For all SOFA staff official agency Internet access and email addresses were in place via a LAN and partial T-1 Internet leased line.
- 53 of 59 Area Agencies on Aging had official agency Internet access and email accounts. Two AAAs had Internet email access for all staff via LANs, Erie County and New York City. In addition, approximately 150 service-provider sites of the New York City Department for the Aging, including the original 100 under the TIIAP ASNet grant, had official Internet access and email accounts.

While the All-AAAs mailing list was intended to enhance communications involving SOFA and all AAAs, it was also anticipated that the availability of email would enhance communication between SOFA's Aging Services Representatives (ASRs) and their respective AAAs. In particular, it was expected that email would result in more frequent communications between AAAs and ASRs, or a shift to email from more expensive forms of communication such as express mail, regular mail, and faxes.

Evaluation results

Interviews were conducted with four of the twelve ASRs to assess the frequency and type of communication they had with one of their AAAs before and after the availability of email. The interview protocol is shown in Appendix 3. The information about communication frequency gathered before the availability of Internet email is summarized below in Table 1.

Table 1: Annual frequency of communication between selected ASRs and selected AAAs

	County A	County B	County C	County D
All types of communication with AAA director	76	50	65	60
All types of communication with all other AAA staff	None	18	65	60
Telephone	50	36	70	100
Memo or letter sent by US mail	4	21	6	10
Fax	18	6	50	5
Face to face	4	5	4	5

In an early set of interviews the ASRs reported the WordPerfect Office/ MailNet Internet addressing requirement to be cumbersome and a disincentive for using email. The procedure made it impossible to use the "reply" function of the email system. Each email required the manual input of the required information. Although users could store and retrieve commonly used email addresses in a file for placement into the body of the message, the information in the "To" field had to be input manually in all cases. In addition they reported repeated and sometimes prolonged outages of the MailNet system which further eroded the utility of email.

As noted above, SOFA was unable to upgrade its desktop software until it upgraded its LAN server and desktop computers so that they could support Windows. Although the private grant enabled the upgrade of the server in August 1997, it wasn't until the fall of 1998 that SOFA was able to upgrade its desktops and install the Windows operating system. In November 1998 SOFA converted its email system to GroupWise and an in-house post office operating on SOFA's fractional T1. This system allowed conventional Internet email addressing and eliminated reliance on the MailNet system which was scheduled to be discontinued. Follow up interviews with ASRs were delayed until February and March 1999 to allow ASRs to gain some experience with the new system. Nonetheless it might be that interviewees comments reflect their experience during the entire period of the ASNet project, rather than just the previous several weeks.

While the availability of email had little effect on the frequency of communication between ASRs and AAAs it was used as a less expensive form of communication by some AAAs, as a substitute for a telephone call where written documentation would be required anyway, and as a redundant communication channel where a telephone call would also be made to verify that the information had been received. In addition there was some belief that email had resulted in increased communication between the AAAs. Some representative comments offered by ASRs are detailed below:

"Some of my AAAs prefer to use email because it is cheaper than making long-distance phone calls."

"When a AAA has requested information that is pertinent to other AAAs it is easy to reply to the inquiry and copy other AAAs."

"I created an email group so that I can conveniently send an email to all of the AAAs that I work with. I prefer to use email when I need written documentation anyway."

"Email has not substituted for use of the telephone, but sometimes substitutes for written follow up or is used to provide additional communication."

"Internet email can't confirm that the email has been received or that it's been opened. When I send an email to a AAA I call to confirm that it was received. If it was an important communication I call right away; if not I make the confirmation the next time I talk with them."

"Some counties prefer to send email to SOFA, but not to receive email because the email from SOFA is too unreliable. We have a system where I call on the telephone within four hours to confirm that the AAA received the email I sent. If they haven't then I send a fax. Reliability of email is still a constraint."

ACCESS TO INFORMATION RESOURCES

Introduction

One of the goals of ASNet was to "Establish a Home Page on the World Wide Web to provide end users, including the elderly and their caregivers, convenient access to a wide body of program information." This section summarizes the development of information resources on the World Wide Web under the ASNet project and presents some summary statistics regarding the use of those resources.

The SOFA Home Page <www.aging.state.ny.us> (see inside front cover) was initially made accessible to the public in June of 1996. It provided information about SOFA's programs, local AAAs, and pertinent links, including links to SOFA's corporate and government partners. In addition, SOFA developed the AAA Desk <www.aging.state.ny.us/aaa> for the exclusive use of its AAA network. This site, which is password protected, provides access to government policy documents and other data of particular interest to AAAs. Information was organized for different end-user or "customer" groups including information on services and programs for the elderly and informal caregivers, information for service providers on delivery requirements and "best practices," and information for state and local offices for the aging, and their staff, to assist them in their day-to-day work.

The initial success of the home page attracted the interest of new corporate partners which enabled the development of additional content-based sites focusing on health insurance information <www.hicap.state.ny.us>, health and wellness <www.agingwell.state.ny.us>. Recent private grants enabled the development of a new site focusing on housing. By April 1999 about \$300,000 in grants had been obtained by SOFA through corporate partnership arrangements to support information dissemination on the World Wide Web.

By August 1998, responsibility for the development and maintenance of Web content had shifted from a small work group and become more widely distributed throughout the agency. To manage content and design issues SOFA created an internal Web Steering Committee. They created internal Web policies and procedures and incorporated Web-related work objectives in annual management plans. Local AAAs with websites increased from three to 23. A listing of AAA websites is shown in Table 2. Additional details are provided below regarding SOFA's websites and how they are managed.

Table 2: Internet Email Connectivity and World Wide Web Information Services of New York State AAAs Before and After the TIIAP Project Grant

Area Agency on Aging	Email		Website	
	Before	After	Before	After
			Address (URL) ⁹	
Albany County	No	Yes	No	No
Allegany County	No	Yes	No	Yes
Broome County	No	Yes	No	Yes
Cattaraugus County	No	Yes	No	No
Cayuga County	No	Yes	No	Yes
Chautauqua County	No	Yes	No	No
Chemung County	No	Yes	No	Yes
Chenango County	No	Yes	No	No
Clinton County	No	No	No	No
Columbia County	No	Yes	No	No
Cortland County	No	Yes	No	No
Delaware County	No	Yes	No	Yes
Dutchess County	No	Yes	No	Yes
Erie County	No	Yes	Yes	Yes
Essex County	No	Yes	No	No
Franklin County	No	Yes	No	No
Fulton County	No	Yes	No	Yes
Genesee County	No	No	No	No
Greene County	No	Yes	No	No
Herkimer County	No	Yes	No	No
Jefferson County	No	No	No	Yes
Lewis County	No	Yes	No	No
Livingston County	No	Yes	No	No
Madison County	No	Yes	No	No
Monroe County	No	Yes	No	Yes
Montgomery County	No	Yes	No	No
Nassau County	No	Yes	No	No
New York City	No	Yes	Yes	Yes

⁹ Links to these sites can be found on the SOFA home page or at <www.aging.state.ny.us/links/links02.htm>

Area Agency on Aging	Email		Before	After	Before	After	Website	
	Before	After					Address (URL)9	
Niagara County	No	Yes	No	No				
Oneida County	No	Yes	No	Yes			www.ny.com/pubs/pt/pt9612/services/ofa.html	
Onondaga County	No	Yes	No	No				
Ontario County	No	Yes	No	No				
Orange County	No	Yes	No	No				
Orleans County	No	Yes	No	Yes			www.orleansny.com/aging.htm	
Oswego County	No	Yes	No	Yes			www.co.oswego.ny.us/services/csd/csd23.html	
Otsego County	No	Yes	No	No				
Putnam County	No	No	No	No				
Rensselaer County	No	No	No	Yes			208.146.142.10/aging.htm	
Rockland County	No	Yes	Yes	Yes			www.rcknet.com/stuff/rocklandny/retire/	
St. Lawrence County	No	Yes	No	No				
St. Regis Mohawk	No	Yes	No	No				
Saratoga County	No	Yes	No	Yes			www.co.saratoga.ny.us/aindex.html	
Schenectady County	No	Yes	No	No				
Schoharie County	No	Yes	No	No				
Schuyler County	No	Yes	No	No				
Seneca County	No	Yes	No	No				
Seneca Nation of Indians	No	Yes	No	No				
Steuben County	No	Yes	No	Yes			schopeg.org/steuben/ofarsvp.html	
Suffolk County	No	Yes	No	Yes			www.co.suffolk.ny.us/exec/humsvcs/aging	
Sullivan County	No	Yes	No	No				
Tioga County	No	Yes	No	Yes			www.tiogaopp.org/asdescrip.htm	
Tompkins County	No	Yes	No	Yes			www.tompkins-co.org/cofa/	
Ulster County	No	Yes	No	No				
Warren/Hamilton Counties	No	No	No	No				
Washington County	No	Yes	No	No				
Wayne County	No	Yes	No	No				
Westchester County	No	Yes	No	Yes			www.co.westchester.ny.us/aging	
Wyoming County	No	Yes	No	No				
Yates County	No	Yes	No	Yes			www.keukahealth.com/Offage.htm	

Number of WWW sites at SOFA and AAAs Before and After TIAAP Grant

	Before	After
SOFA	0	5
AAAs	3	23

SOFA's Websites

Each of SOFA's websites is designed to provide information services for a targeted user group or customer. The target audience determines the nature and scope of the information services included on the website. Each of SOFA's Websites is described below including information about the target customer group for whom the site is designed, the site's history, content, a list of pertinent keywords, and notes regarding accessibility

New York State Office for the Aging Website <www.aging.state.ny.us>

Targeted Customer Group/s: This website was originally designed for, and still primarily targets, older New Yorkers and their families seeking help in finding services and programs of assistance for the elderly. More recently, it has been expanded to also target family caregivers, and grandparents raising children. Content is also included for professionals and students in aging.

History: First implemented in June 1996, this website has undergone two major re-developments, most recently in April 1999. Original developmental was supported in part by a public-private partnership.

Content: The Homepage of the New York State Office for the Aging is a public service to older New Yorkers, their families and professionals and students in aging. Find toll-free hot lines, a local office near you, services and programs, facts, resource links and more!

Keywords: aging, senior, elderly, older, hot lines, find help, aging news and events, aging services, aging network, office for the aging, caregiver, aging programs, aging population, resources for the elderly, state government, New York State

Accessibility: The State Office's Homepage website is designed with a larger default font size for easier reading. A "low-bandwidth" version, <www.agingwell.state.ny.us/text/>, provides for disability access with required text and graphic annotations without loss of information services.

AAA Desk <www.aging.state.ny.us/aaa>

Targeted Customer Group/s: This website within the pages of the State Office's public website is designed exclusively for Area Agencies on Aging in New York State. It

is password protected so only the State's Area Agencies may access the information services provided on this website.

History: This website was first created and announced to the State's Area Agencies in early 1998. It has since been updated as of early 1999.

Content: The AAA Desk provides daily updates of official documents issued by the State Office for the Aging to local Area Agencies on Aging, and a library of documents dating back to 1994 in Adobe Reader PDF format. In addition, the AAA Desk provides email directories for AAAs and State Office staff, and various resource and help pages.

Accessibility: The AAA Desk is designed with a larger default font size for easier reading, and for disability access with required text and graphic annotations.

Health Insurance Information, Counseling and Assistance Program (HIICAP)
<www.hiicap.state.ny.us>

Targeted Customer Group/s: This website is designed for older New Yorkers and their families seeking information and assistance for Medicare beneficiaries on topics and issues of health insurance. It also serves professionals and volunteers delivering HIICAP services in communities across New York State, as well as others interested in health insurance for Medicare beneficiaries.

History: This website started as a section of the State Office's Homepage website in November 1997. It was subsequently created as a sister website in July 1998 to accommodate expansion and to provide easier access to HIICAP information services for the site's targeted customers.

Content: The HIICAP Website provides free, unbiased, and clear consumer help with Medicare, managed care, Medigap insurance, long term care insurance, and more for Medicare beneficiaries and their families.

Keywords: health insurance, Medicare, managed care, health maintenance organizations, HMOs, Medigap, long term care, insurance, seniors, aging, elderly, consumers, retirement, planning, links, HIICAP, state government, New York State Office for the Aging

Accessibility: The HIICAP website is designed with a larger default font size for easier reading, and for disability access with required text and graphic annotations. Disability, text and Web browser software (at the Netscape 3 level and above) should be able to access this site without lose of information services. This is a non-frames site.

Aging Well: A Health and Wellness Village for Mature Adults
www.agingwell.state.ny.us

Targeted Customer Group/s: This website is designed for the aged 50-plus mature adult, older New Yorkers and their families seeking information and tools to help provide for health and wellness, and active lives after 50 and during their senior years. It targets those seeking any of the full range of healthy life styles topics from fitness and nutrition to safety in the home and the safe use of medications.

History: The development of this website was made possible under a public-private partnership. It was first introduced in September 1998, and since its inception, has been the recipient of numerous accolades and awards. Original design and developmental, and ongoing technical support, have been made possible in part by a public-private partnership.

Content: Aging Well is a health and wellness site for mature adults, full of innovative features and basics of fitness, nutritional health, safety, self-care and prevention, medication tips, and more on leading active and healthy lives.

Keywords: aging well, mature adults, baby boomers, seniors, elderly, health, wellness, fitness, exercise, walking, National Nutrition Screening Initiative, nutrition, pharmacy, medications, over-the-counter drugs, healing, Tai Chi, yoga, complementary alternative medicine, home safety, fire safety, self-care, breast cancer, flu immunization, checklists, records, volunteer opportunities, caregiver resources, New York State Office for the Aging

Accessibility: The Aging Well website is designed with a larger default font size for easier reading, and has a companion website at www.agingwell.state.ny.us/text with text annotation of graphics and other requirements for disability access.

A Guide to Senior Housing in New York State <www.seniorhousing.state.ny.us>
(pending)

This website is currently under development. It is being designed for seniors and their families seeking information on senior housing developments in New York State. A directory of as many as 3,000 housing developments providing alternative housing options, from standard one-bedroom apartments to assisted living and continuing care retirement communities, will be access via this website. The development of this website is being made possible in part by private grants.

Management of SOFA's Websites

Website Steering Committee

A formal agency Website Steering Committee was established within the State Office to coordinate the development and maintenance of WWW services within the overall public information program and priorities of the Office. The Committee is chaired

by the Director of Public Information and responsible to the Director and Executive Director of the Office. In addition to be charged with overall coordination, it is responsible for the development and implementation of administrative procedures and forms governing the operation of the websites.

The Web Steering Committee includes representation from all agency divisions empowering full participation in the development and ongoing maintenance of websites. It meets regularly on a running three-week schedule to monitor and review website activities, and to address any outstanding issues or requests. In addition to its primary functions of coordination and making recommendations regarding website policies and procedures, the Committee functions as a communication mechanism to share information within the agency.

Staff Organization

The State Office's websites present information and services typically developed by the Office as part of regular staff activities to meet ongoing mandates and program responsibilities. As such additional staff resources are generally limited to coordinating content contributions to the websites and to perform skilled tasks and technical work unique to creating and maintaining websites.

A program person is designated as the content coordinator for each website and has responsibility for scheduling and monitoring content updates. Updates are contributed and organized by staff who are designated as website "page owners." They are the individuals or representatives of agency units who actual develop the content for the website. The page owners prepare updates or new material and submit them to the website coordinator. The coordinator in turn prepares changes on any related pages and submits all changes and additions to the agency's Web Manager.

Conversion of material from word-processing formats to hypertext is one of the skilled tasks unique to website work. A staff person who has received special training in the hypertext software and standards used by the State Office supports each content coordinator. The coordinator has also received this training so that as much material as possible is converted to hypertext before it is submitted to the Web Manager for final editing and posting.

The Web Manager has responsibility for final design and editing of the websites and may call on any of the contributors, support staff and content coordinator for assistance as needed. In addition, the assistant to the Web Manager provides technical backup and support, including CGI programming and other more technical skills. Outside consultants are also used selectively for hypertext, CGI programming and other technical development work.

The overall work plans and their implementation are reviewed and monitored by the agency's Website Steering Committee. All staff involved in developing and maintaining the State Office websites are members of various website teams, and have

primary responsibilities in other areas. Their participation on website teams requires the approval of their supervisors who oversee the coordination and prioritization of their website and primary activities.

Website Policies and Procedures

Policies and procedures have been developed and implemented for:

- clearance of materials posted on the State Office's websites;
- establishing links from the websites to other websites on the World Wide Web; and,
- obtaining approval for developing new websites or significantly expanding existing websites with the addition of major new content areas.

Timely posting of updated materials is critical to maintain the websites' value. In recognition of this, a review and approval process was implemented by the State Office for clearing materials posted on its websites.

As soon as new or updated material for existing websites is prepared, it is posted on a development server, which can be accessed only by authorized reviewers. The reviewers, which include content owners as well as executive management, are notified via email and requested to review and approve the material. When final approval is received, again via email, the material is posted on the appropriate public website. Content coordinators are notified so they can review the material for any posting errors.

Typically, the review and final approval is completed within two days as most materials submitted for posting on the websites have been previously approved for dissemination in printed form.

As a matter of policy, SOFA web pages may not link to commercial sites, i.e., sites whose primary or major content is designed for customer sales, unless specifically provided for in a public-private partnership agreement with SOFA.

All links from SOFA Office websites to external sites must also be justified based on the value of the content at outside sites to the people visiting the SOFA website. If there is any question or issue as to whether a link meets the requirements of this policy, it is not added unless specifically approved by the Website Steering Committee.

Website content coordinators are responsible for implementing the agency's link policy with review and monitoring by the Web Manager and oversight by the Website Steering Committee.

SOFA staff may at any time undertake the development of a new website or major addition to an existing website by submitting a proposal to the Website Steering Committee. A procedure for doing so has been implemented to provide all parts of the agency the same opportunity to contribute to SOFA's website services, while ensuring major development efforts are consistent with agency priorities and available resources.

Staff initiating such proposals are expected to first discuss their proposals with their supervisors. Next, they draft a written proposal and meet with the Web Manager to finalize it. Proposals are then submitted (with the Web Manager's recommendations, if any) for approval by their supervisor. If approved, the proposal is presented to the Website Steering Committee by the initiating staff member. The Website Steering Committee may disapprove, make changes or recommend approval of proposals. Proposals approved by the Website Steering Committee are submitted for final review and approval to the agency executive staff. Approved proposals are returned to the Web Manager who oversees development by those who submitted the proposal.

Website Computer Servers

The State Office's websites are hosted on computer servers operated off-site by a contractor. Each website has a virtual development host and public production host. Access to both hosts by technical staff is via ftp and direct telnet. Only the Web Manager and the Assistant Web Manager have access to the agency's website servers, and serve as control points for accessing the servers.

All website pages and applications are first posted and tested on a development server that is accessible only to technical staff and internal reviewers. Pages and applications are only posted on the production server which makes them accessible to the public when cleared for such posting pursuant to established clearance procedures.

To foster and support the website work of internal staffing teams, all websites are mirrored on the agency's LAN server. This permits the copying and manipulation of all website content by contributing and support staff, while providing a redundant backup of the agency's public websites.

Websites and Private-Public Partnerships

The websites of the State Office have been made possible, in part, by private-public partnerships that have provided equipment and technical consultant services. The terms of such partnerships with the State Office much meet the requirements of the Office and the broader policy and guidelines set forth by the Governor's Office of Information Technology. In addition, such partnerships must first be enabled by publicly announcing an invitation to corporate partners in the official competitive announcement of the State, the New York State Contract Reporter.

SOFA announced its invitation to corporate partners in the New York State Contract Reporter the state's official weekly listing of bidding opportunities. The invitation has since been posted on the SOFA website at www.aging.state.ny.us/partners/invited.htm. Any and all potential corporations interested in pursuing this invitation and a private-public partnership may still contact the State Office. The pursuit of private-public partnerships, begun under the TIIAP ASNet grant, is a continuing effort of the State Office.

Partnerships on websites provide the State Office's corporate partners with recognition and links on the websites and recognition in the State Office's promotion of websites and partners via news releases, conference presentations and exhibits, and regular publications of the State Office.

In all cases, the State Office retains full and sole responsibility and control of website content and operations. Corporate partners are invited, and have provided major support for Office websites through funding and in-kind grants of equipment, consulting services, staffing, and operations.

Partnership agreements have and continue to permit the State Office to recognize and provide live links to corporate partners under the policies and guidelines set forth by the Governor's Office of Information Technology. However, no partnership agreement has or can be made by the State Office to the exclusion of other potential corporate partners.

Evaluation Results

Assessing the "traffic," or number of visitors to a website can be problematic. The statistics ordinarily available from a web server do not provide a means for identifying individual visitors, repeat visitors, or how many different pages are accessed by each visitor. The means to do so are available (e.g., through the use of "cookies" which identify individuals), but require a level of intrusion on the visitor that SOFA, as a public service agency, judged to be inappropriate. Consequently only "ordinary" web server statistics were gathered. Two kinds of web statistics were selected as the best indicators: the number of unique hosts in the last seven days, which gives an indication of the number of individual visitors to the site; and the number of page requests, which gives an indication of the utilization of the site. Statistics were collected for each of three websites: SOFA Main Page, Health Insurance (Health Insurance Information, Counseling and Assistance Program), and Health and Wellness (Aging Well: A Health and Wellness Village for Mature Adults). These indicators are explained below; statistics are presented in detail in Figure 7-Figure 10.

Number of unique hosts

Although it was not possible to identify and keep track of specific individuals who visited the site, it was possible to monitor visits from various computer hosts. This capability could not distinguish between different individuals visiting from the same host, or a single individual visiting from the same host multiple times. Nonetheless the number of unique hosts served over the past seven days provided the best available indicator of the number of visitors to each site during each seven-day time period. Tracking this measure over time gives a reasonable indication of trends.

Number of pages requested

The number of different pages requested gives some indication of the amount of information requested. A visitor who finds a site uninformative will likely leave the site; if the site is informative the visitor is likely to follow links to additional pages to obtain further information. Consequently, when the ratio of pages requested to the number of unique hosts is greater than one it gives some indication that the site is informative.

By the first quarter of 1999 traffic on SOFA's Home Page had grown to an average weekly volume of nearly 1,000 visits and requests for 3,700 pages. The Health Insurance site averaged approximately 850 visits and requests for 3,500 pages, while the Health and Wellness site averaged approximately 750 visits and 2,400 page requests.

**Table 3: Average Weekly Volume of Traffic to ASNet Websites
First Quarter 1999**

	Visitors ¹⁰	Page Requests ¹¹	Ratio
SOFA Main Page	974	3,701	4
Health Insurance	841	3,459	4
Health and Wellness	754	2,387	3

Table 4: Maximum Weekly Volume of Traffic to ASNet Websites

	Visitors ¹²	Page Requests ¹³	Ratio	Week Ending
SOFA Main Page	1,170	3,632	3	2/22/99
Health Insurance	990	4,723	4	3/15/99
Health and Wellness	3,762	12,027	3	1/11/99

A focus group assessment of the health and wellness site, Aging Well, was conducted in April, 1998, prior to its public launch. Comments from the focus group were generally positive; several suggestions were made to improve the quality of the site. A report of the focus group assessment is provided in Appendix 4.

¹⁰ Number of visitors as measured by the number of unique hosts in the past seven-day period.

¹¹ Number of HTML pages requested in the past seven days.

¹² Number of visitors as measured by the number of unique hosts in the past seven-day period.

¹³ Number of HTML pages requested in the past seven days.

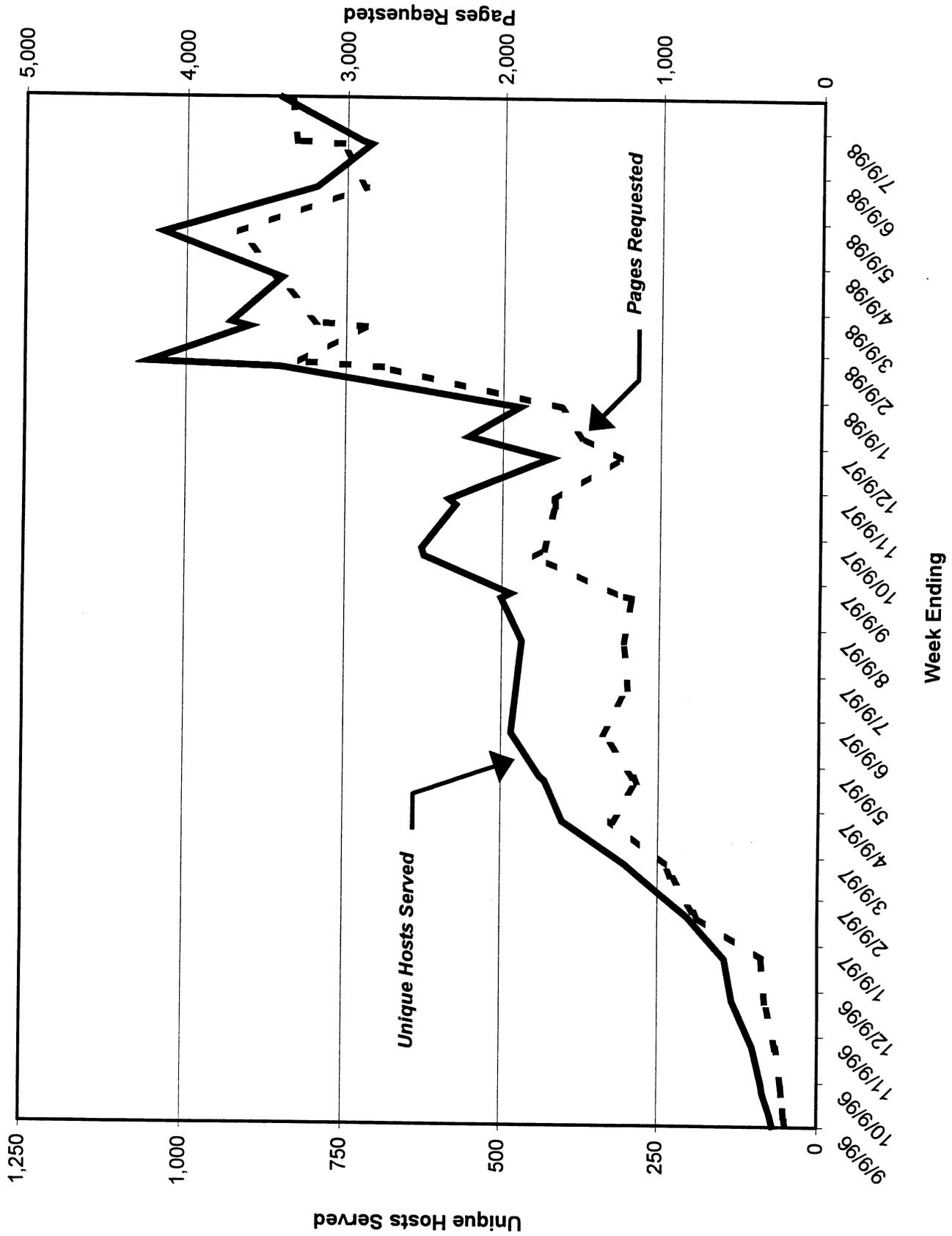


Figure 7: ASNet WWW Visits '96-'98 - SOFA Home Page

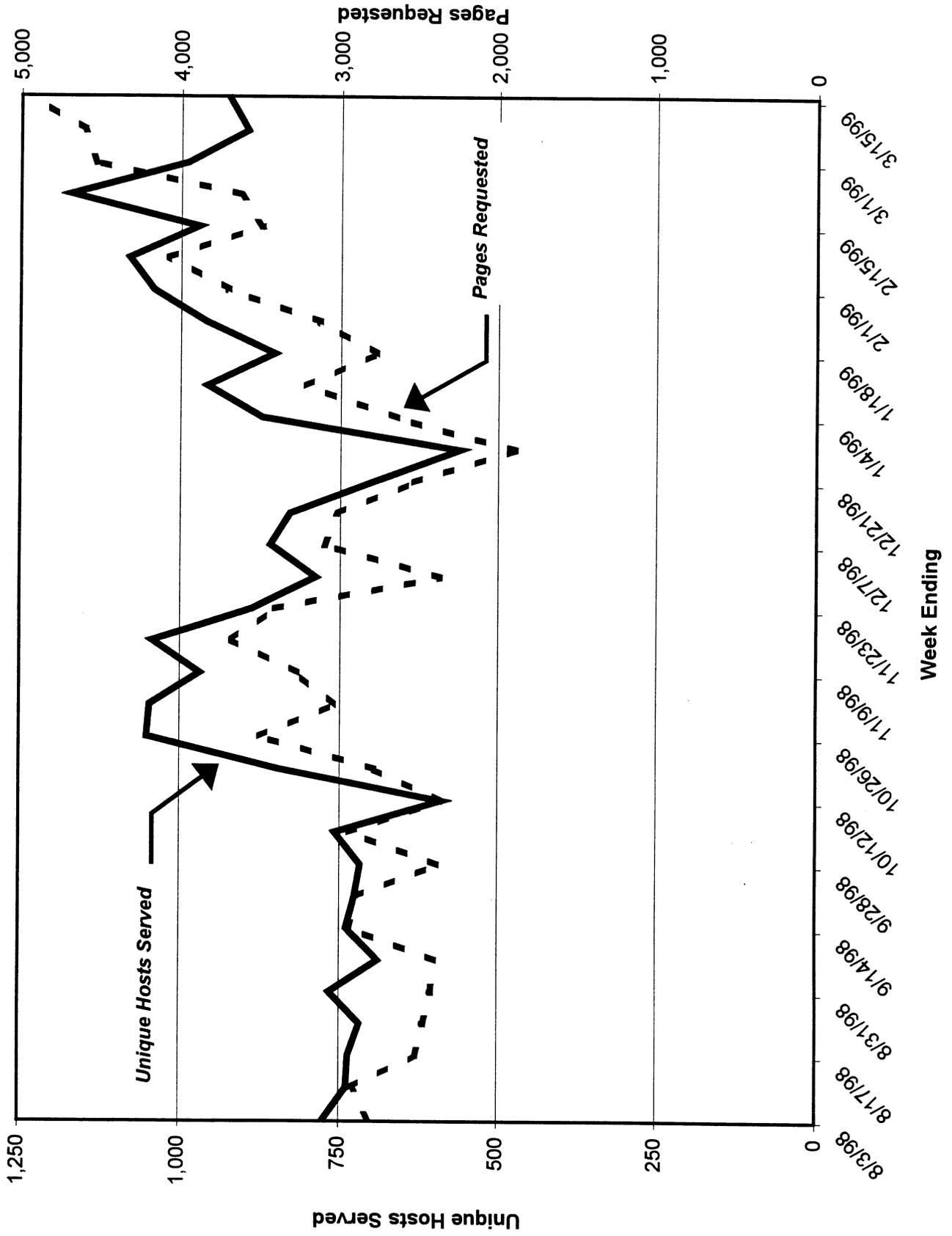


Figure 8: ASNet WWW Visits '98-'99 - SOFA Home Page

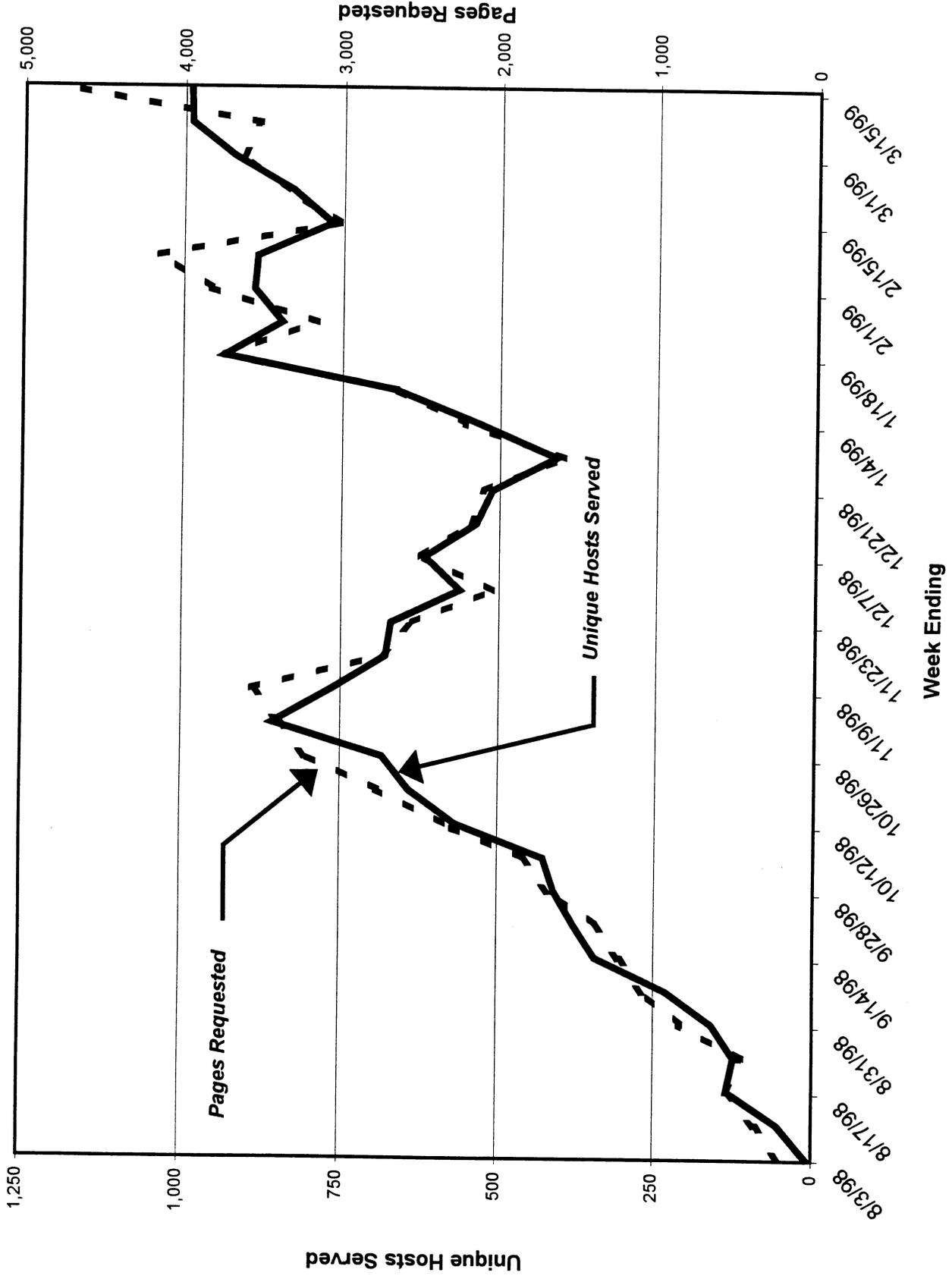


Figure 9: ASNet WWW Visits '98-'99 Health Insurance Information, Counseling and Assistance Program

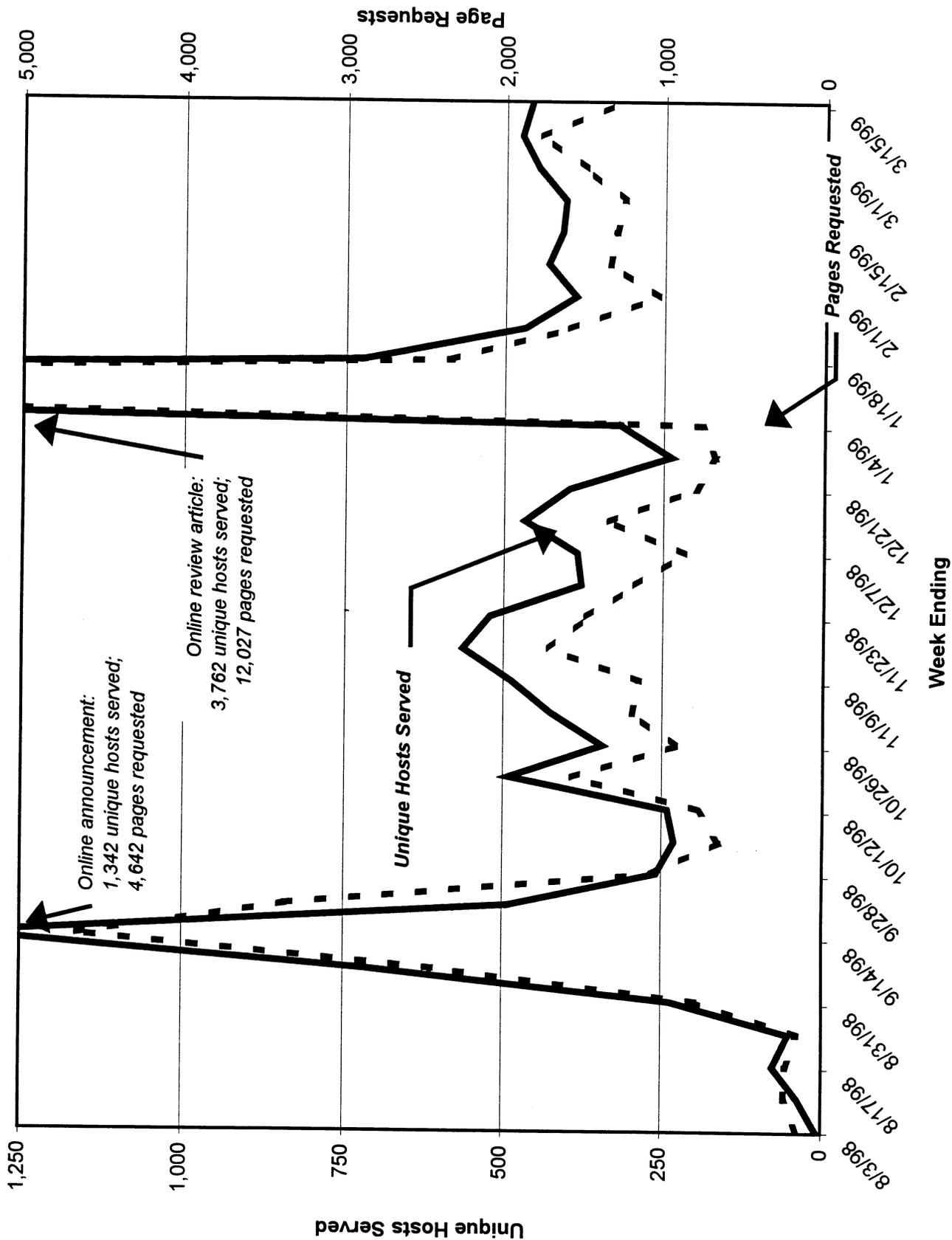


Figure 10: ASNet WWW Visits '98-99 Aging Well: A Health and Wellness Village for Mature Adults

SHARING CLIENT, SERVICE AND PROGRAM INFORMATION

Introduction

Two of the goals of ASNet were to: "Establish electronic linkages among local aging service providers for sharing client, service and program information," and to "Explore the value of remote connectivity to client and service information through the use of notebook computers so that field workers can serve the homebound elderly more effectively." These goals were addressed by initiating four projects in which technologies for accomplishing these goals would be demonstrated. This section describes how the demonstration projects were developed and details their technology interventions and expected outcomes.

Demonstration Site Selection

The ASNet demonstration sites were selected to provide experience in various settings, e.g., urban, suburban, and rural. Guidelines were developed to aid the selection of the demonstration sites as shown in Appendix 5. The selected ASNet demonstration sites were:

- the Albany County Area Agency on Aging serving a urban/suburban population of 56,216 aged 60-plus,
- the Franklin County Area Agency on Aging serving a largely rural population of 8,045 aged 60-plus,
- the Monroe County Area Agency on Aging serving a largely urban population of 118,470 aged 60-plus, and
- the Jewish Association for Services for the Aged (JASA), the largest service provider under contract to the New York City Department for the Aging (DFTA), serving a central city population of over 50,000 clients annually.

In addition, DFTA provided a citywide demonstration of ASNet involving PDS software and Internet connectivity at 100 sites across the city's five boroughs. DFTA serves an aged 60-plus population of 1.3 million in the boroughs of the Bronx (187,066 aged 60-plus), Brooklyn (382,307 aged 60-plus), Manhattan (264,789 aged 60-plus), Queens (385,772 aged 60-plus) and Richmond (58,171 aged 60-plus).¹⁴

¹⁴ Data Source: 1990 Census counts of the aged 60-plus by county.

Evaluation Design

The evaluation team used participatory evaluation methods¹⁵ in the ASNet project by organizing and facilitating a two-day design meeting at each of the four demonstration sites (Albany County, Franklin County, Monroe County, and New York City). Participants in the meetings included the local demonstration-site staff as well as program management and technical staff from the State Office for the Aging. During these meetings, the particulars of the technology intervention were consensually agreed, a budget was specified that would cover a variety of hardware and software requirements, and a time line was proposed with task assignments and deadlines for the first three months of project work. In addition, a list of potential evaluation criteria, as shown in Appendix 6, was presented to the participants at each meeting. They were asked to identify from this list the most likely, useful outcomes from their project as they had planned it.

Based on convergent results across the four demonstration sites, the evaluators selected six categories that were widely viewed as the most valuable criteria for assessing the success of the projects. The ASNet evaluation design, therefore, focused on the following:

- Faster response time
- Additional time savings
- More service consolidation
- Higher information quality
- Greater consistency and accuracy of information
- Increased frequency of communication

These categories are described in detail below. Following the description of the evaluation categories is a brief overview of each demonstration site. The overview outlines the technology interventions and shows the relationship of each intervention to the six evaluation categories.

Evaluation Categories

Faster response time

Response time refers to the time it takes for staff to respond to a request for information or for service. From the client perspective, this might be characterized as waiting time. The speed of response is measured by the amount of time that elapses between the point at which the request is received and the point at which information or service is provided.

¹⁵ Papineau, Danielle, and Kieley, Margaret (1996). Participatory evaluation in a community organization: Fostering stakeholder empowerment and utilization. *Evaluation and Program Planning*, 19, 79-93.

For example, if use of PDS, allows for the first delivery of Meals on Wheels to arrive at a client's home one day sooner, then a faster response time will have been achieved. ASNet may speed certification for programs by more rapidly moving electronic forms from office to office for approval. In Information and Referral services, the use of PDS may make requested information about provider services available immediately at the time of an initial telephone call rather than necessitating investigation and a call-back. The evaluation design will assess both the decrease in response time on average for a particular service, as well as the number of clients affected by the improvement.

In New York City, the Jewish Association for Services for the Aged (JASA) created a centralized Information and Referral Unit (IRU) in Manhattan that was made possible by the availability of PDS support for scheduling home visits. Previously, seven to eight days elapsed before a case worker visited a home in response to a call. Through the new system, the client's waiting period would be reduced by approximately 50%. This faster response time was estimated to affect at least 100 new clients every month.

Additional time savings

Time savings refers to the reduction in the amount of time required by an employee to complete a task or the elimination of the task altogether. From a financial perspective, time savings can produce cost savings. Previously, considerable time was invested in collecting redundant information or in tabulating information for reporting purposes. Maintaining paper files, especially in multiple locations, can occupy considerable staff time, as well.

A major focus of the evaluation design was to identify the ways in which the use of PDS provided significant time savings in the process of service delivery. Estimates were made of the amount of time devoted to completing a task before implementation of PDS. Time savings were to be cumulated by taking into account the number of times a particular task was performed in a given period of time and the number of individuals who performed that task at a particular demonstration site.

Franklin County planned to provide case managers with laptops and portable scanners to record client information on-the-spot during home visits. As a result, paper forms and files largely would be eliminated, as well as the need to duplicate forms and photocopy documents. Initial estimates suggested that case managers spend about a month of professional time each year accommodating such paperwork requirements. The additional time savings offered by PDS might be 10% of each case manager's work week that could be devoted to more significant responsibilities.

More service consolidation

Service consolidation refers to changes that result in a streamlined process, the reduction of steps in a process, or in one-stop shopping. From a client perspective, service consolidation improves access to programs and services and makes use of the service delivery system more straight forward. Service consolidation could result from changes such as:

- Minimizing unnecessary interactions between clients and providers in the process of service delivery
- Making critical information available earlier in the process, thereby avoiding steps later in the process e.g., accessing information about available programs and services while still on the phone with a client, avoiding the need to call the client back later.
- Decreasing the number of referrals or transfers necessary to meet a client's needs

An advantage of PDS in supporting JASA's development of its new Information and Referral Unit (IRU) in New York City was that many calls for assistance could be handled immediately. Under the previous system, an initial call was recorded on a form by a secretarial or clerical worker. Later, one of the professional staff returned the call to secure more information and provide appropriate assistance, frequently the caller then would be unavailable (e.g., busy signal, recorded message, or no answer). PDS would allow immediate response to the initial call, eliminating the call back. This consolidation would streamline the service for an estimated 4000 callers the first year.

Higher information quality

Information quality refers to information that is more pertinent, useable, and up-to-date. Higher information quality could result from changes such as:

- Collecting information that is more pertinent and complete.
- Sharing updated information on availability of programs and services, eligibility requirements, and client circumstances

Dieticians and nurses from the Monroe County Office for Aging support a variety of health and nutritional programs in senior centers throughout Monroe County. With separate schedules that bring them in contact with many individuals, the outcomes of their meetings rarely are recorded in client files. With PDS on their laptops, however, a dietician and/or nurse would be able to note blood pressure tests or meal restrictions that would better inform a case worker; the case worker's records would assist in the work of the dietician and nurse, as well. A richer pool of information about clients would be of considerable value to a senior center in planning special programs and services, and in promoting these to targeted audiences.

Greater consistency and accuracy of information

Greater consistency and accuracy refers to information that has fewer errors, and conforms to standard definitions and formats. Greater consistency and accuracy could result from changes such as:

- Reducing the number of times information is copied before it is entered into an official record
- Establishing standard definitions and formats for critical data

As is true of every county in New York State, Albany County devotes considerable effort to ensure the maintenance of client records. Senior Services of Albany planned to use PDS to support a personal intake interview with each new member of the Louise Corning Senior Center that would replace an earlier, more impersonal intake form. This intake interview not only would provide a more complete client record but also would help to ensure that the information included in the PDS file was as consistent as possible across individuals. The aim of Senior Services was to use PDS to achieve the most accurate, up-to-date record system feasible in supporting its reporting responsibilities to Albany County.

Increased frequency of communication

Frequency of communication refers to how often the same people are in communication with each other. Such communication could be used to distribute information, address ongoing questions and answers, or resolve differences in how best to address a particular need. Increased frequency of communication could result from changes such as:

- Making it more convenient to communicate among peers, between case workers and supervisors, and among service providers

Given the distances between senior centers in rural Franklin County, it was not surprising that many of the staff participating in the ASNet Project spoke with each other only once or twice a month. The availability of Internet email accounts through ASNet provided an additional communication channel in Franklin County that was expected to increase the connectedness of the service delivery system.

Planned Interventions and Expected Outcomes

Each of the four demonstration sites -- Albany, Franklin, and Monroe Counties and New York City -- participated in a design conference as described above. The conferences were used to plan the particular interventions that would be implemented in each site, as well as the outcomes expected for each. Overall, seven types of interventions can be identified. These include providing new technologies for use (1) at senior centers

and congregate meal sites, (2) by case workers, (3) in central office functions, (4) for medical and nutrition programs, (5) in transportation services, and (6) in information and referral (I & R) services. General descriptions of these types of interventions are given below; shows which types of interventions were planned in which sites. The specific interventions planned for each of the three upstate counties, and the expected outcomes for each, are summarized in Figure 11, Figure 12, and Figure 13.

Senior Centers and Congregate Meal Sites

- **Technologies.** At least one desktop PC, one printer, one modem, and one optical scanner would be provided at each senior center or congregate meal site included in the project.
- **Processes.** The equipment would be used to collect and update client baseline demographic information for intake, as well as to record services provided by scanning bar codes. The information collected would contribute to a comprehensive, shared client database.

Case Workers

- **Technologies.** A laptop PC, portable printer, optical scanner, modem, and cellular phone would be provided for each case worker included in the project.
- **Processes.** The equipment would be used to collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided. Scanning would allow case workers to maintain electronic images in important client documents without removing them from the home. The information collected would contribute to a comprehensive, shared client database.

Central Office Functions

- **Technologies.** At least one desktop PC, one printer, and one modem would be provided at each central office included in the project.
- **Processes.** The equipment would be used to collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided. The information collected would contribute to a comprehensive, shared client database. In addition, the equipment would allow for more efficient review and authorization of requests for client services.

Medical and Nutrition Programs

- **Technologies.** At least one laptop PC and one portable printer would be provided to each nutrition assessor, dietitian, and nurse included in the project.
- **Processes.** The equipment would be used to collect and update client baseline demographic information for intake. Depending on context, the equipment also would be used to complete clients' nutrition assessments, complete clients' nutrition care plans, or collect clients' general health information, as well as record services provided. The information collected would contribute to a comprehensive, shared client database.

Transportation Services

- Technologies. At least one desktop PC, one printer, and one modem would be provided to each transportation services office included in the project.
- Processes. The equipment would be used to collect and update client baseline demographic information for intake, make use of routing programs for scheduling transportation efficiently, respond quickly to clients' questions and changes in plans, and record services provided. The information collected would contribute to a comprehensive, shared client database.

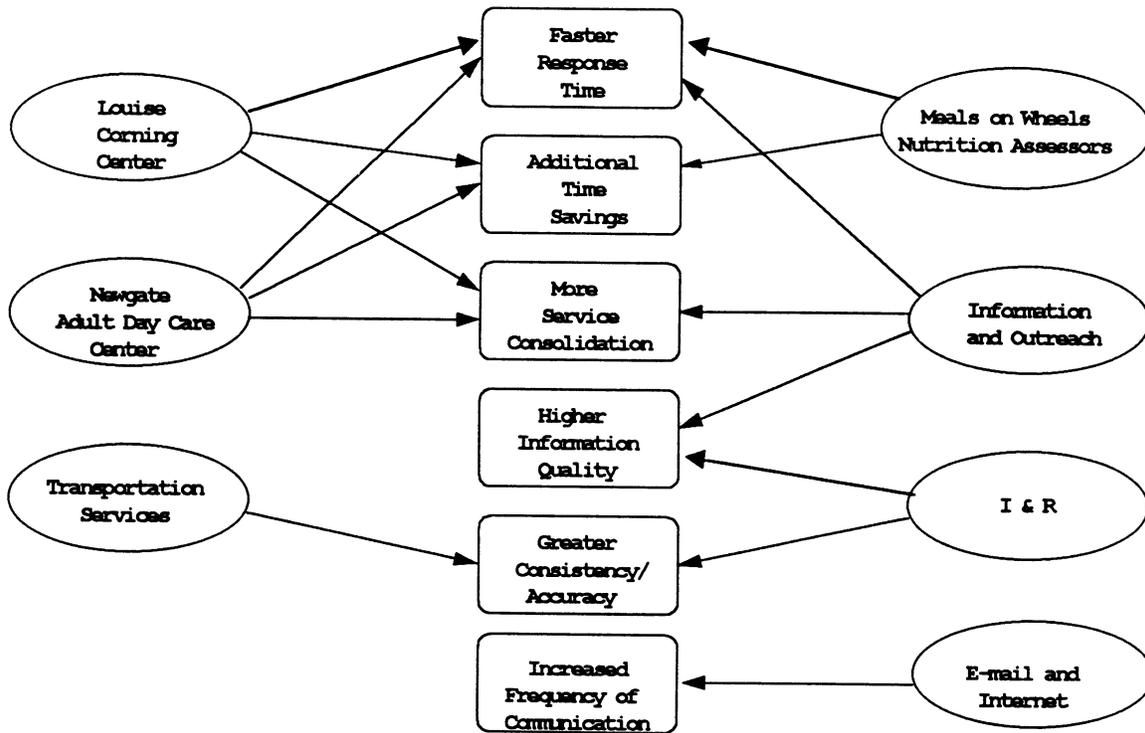
Information and Referral Services

- Technologies. At least one desktop PC, one printer, and one modem would be provided at each location where telephones are being answered for information and referral services included in the project.
- Processes. The equipment would be used to create and update an automated directory of provider services. In addition, caller baseline demographic information would be collected to document types and frequency of information requests, as well as to facilitate follow-up contact with callers for satisfaction surveys. The information collected would contribute to a comprehensive, shared client database.

Table 5: Planned Interventions at Demonstration Sites

	Albany County	Franklin County	Monroe County	JASA
Senior Centers and Congregate Meal Sites	X	X	X	X
Case Workers	X	X	X	X
Central Office Functions		X		
Medical and Nutrition Programs	X		X	
Transportation Services	X			
Information and Referral Services	X		X	X

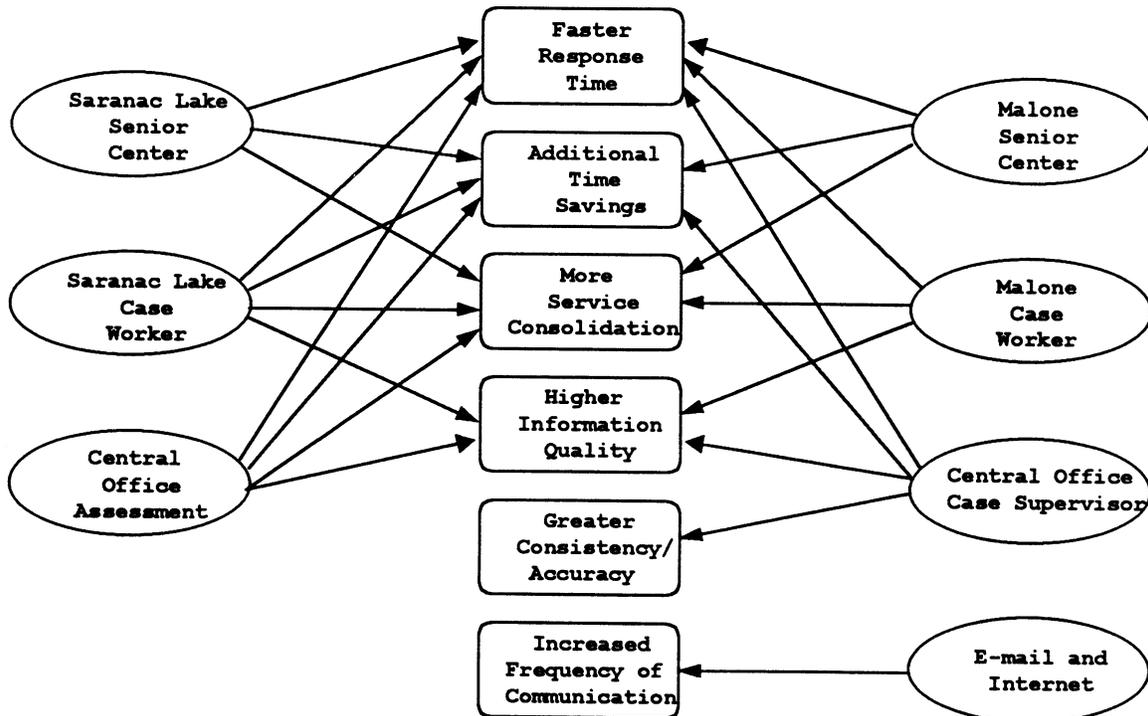
ALBANY COUNTY



- Louise Corning Center--will collect and update client baseline demographic information for intake and record services provided (including use of bar-coded cards); information collected contributes to comprehensive, shared client database {shared use of laptop PC and printer, optical scanner}
- Newgate Adult Day Care Center--will collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {shared use of laptop PC and printer}
- Transportation Services--will collect and update client baseline demographic information for intake, make use of the routing program for scheduling, and record services provided; information collected contributes to comprehensive, shared client database {desktop PC, printer, modem}
- Meals on Wheels Nutrition Assessors--will collect and update client baseline demographic information for intake, complete nutrition assessments, and record services provided; information collected contributes to comprehensive, shared client database {laptop PC}
- Information and Outreach--will collect client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {laptop PC, portable printer}
- I & R--will create and update an automated directory of provider services; will collect caller baseline demographic information; will document types and frequency of information requests; information collected contributes to comprehensive, shared client and provider database {desktop PC, printer, modem}
- Email and Internet

Figure 11: Albany County's planned interventions and expected outcomes

FRANKLIN COUNTY



Saranac Lake Senior Center--will collect and update client baseline demographic information for intake and record services provided (including use of bar-coded cards); information collected contributes to comprehensive, shared client database {desktop PC, printer, modem}

Saranac Lake Case Worker--will collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {laptop PC, modem, cellular phone, optical scanner, portable printer}

Malone Senior Center--will collect and update client baseline demographic information for intake and record services provided (including use of bar-coded cards); information collected contributes to comprehensive, shared client database {desktop PC, printer, modem}

Malone Case Worker--will collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {laptop PC, modem, cellular phone, optical scanner, portable printer}

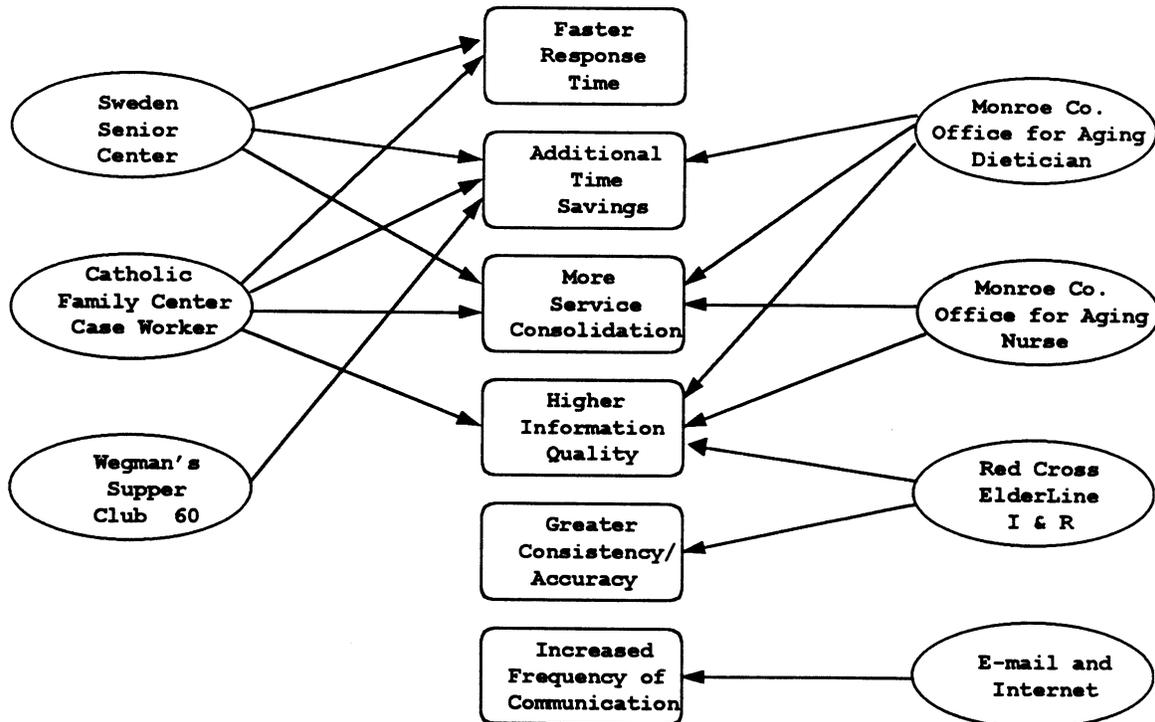
Central Office Assessment--will collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {desktop PC}

Central Office Case Supervisor----will review and issue authorizations for client services {desktop PC, modem}

Email and Internet

Figure 12: Franklin County's planned interventions and expected outcomes

MONROE COUNTY



Sweden Senior Center--will collect and update client baseline demographic information for intake and record services provided (including use of bar-coded cards); information collected contributes to comprehensive, shared client database {desktop PC, printer, modem}

Catholic Family Center Case Worker--will collect and update client baseline demographic information for intake, perform standard client needs assessment, and record services provided; information collected contributes to comprehensive, shared client database {laptop PC, modem, cellular phone, optical scanner, portable printer}

Wegman's Supper Club 60--will collect and update client baseline demographic information for intake and record services provided (including use of bar-coded cards); information collected contributes to comprehensive, shared client database {shared use of laptop PC and portable printer, optical scanner}

Monroe County Office for Aging Dietician--will complete clients' nutrition care plans and record services provided; information collected contributes to comprehensive, shared client database {shared use of laptop PC and portable printer}

Monroe County Office for Aging Nurse--will collect client general health information and record services provided; information collected contributes to comprehensive, shared client database {shared use of laptop PC and portable printer}

Red Cross ElderLine I & R--will create and update an automated directory of provider services; will collect caller baseline demographic information; will document type and frequency of information requests; information collected contributes to comprehensive, shared client and provider database {desktop PC, printer, modem}

Email and Internet

Figure 13: Monroe County's planned interventions and expected outcomes

User Feedback and Software Improvements

A major outcome from the use of PDS in the ASNet demonstration sites was that SOFA staff gained valuable feedback about the software. Users identified software bugs and suggested additional features or modifications to make the software more useful and useable. These suggestions were analyzed and prioritized by SOFA and DFTA staff working together with the software developer, Softek. Several modifications were incorporated in 1997 in PDS version 3.5 and communicated to AAAs as shown in Table 6. As shown in Table 7, additional modifications were incorporated in version 4.0 which was released in the spring of 1999.

Table 6: PDS 3.5 Feature Summary

Overall

- Contains all data elements required of aging programs by SOFA (Minimum Data Set (MDS)).
- No one person needs to master all of the functions. Different individuals (e.g., an I&R worker, a case manager and a Home Delivered Meals provider) can contribute to the client record.
- Data is entered only once, shared by multiple users, and recalled as needed (e.g., it is not necessary to re-enter the name of a client for each service or provider).
- Y2K Compliant.

Clients

- Client assessment and reassessment that is MDS compliant.
- Client data
 - Name, address, phone, demographics.
 - Current, prior, and requested services.
 - Health: physical, nutritional, psychological.
 - IADL/ ADL status; Medications.
 - Capacity of informal support system.
 - Care plan.
 - Financial, housing data.
 - Entitlements and benefits.
- Manages multiple client types e.g., a client can be served by Title III, SNAP, EISEP, or all three.
- Cross-references clients, providers and employees, e.g., to show for a particular client the services provided by specific providers and employees.
- Assigns client to provider for immediate service or placement on a waiting list.
- Unique case number automatically assigned to each client.
- Client waiting list status.
- Bar code reader aids client data collection at congregate sites.

Information and Referral

- Capture profiles of callers or walk-in clients.
- Access to client and local provider information.
- Easy access to benefits and entitlements information.
- Literature distribution.
- Custom letters.

Financial

- Relates local costs to specific units of service.
- Actual hours of service are automatically subtracted from budget allocations and used in invoice generation.

Table 6: PDS 3.5 Feature Summary

- Automatically calculates EISEP cost share.

Employees

- Identifies each individual authorized to use the system.
- System access requires user ID and password.
- *Worker Log* - records time spent on various activities.
- *Tickler* - alerts user to upcoming events, e.g., reassessments, supervisory visits, calls to clients, home visits.

Providers

- For each local provider stores information on:
 - Programs and services and their availability.
 - Facilities; public access information.
 - Hours and areas of service.
- *Search* for providers based on multiple criteria (e.g., find a case management agency in a certain zip code).
- *Routing* feature for home delivered meals, transportation, telephone reassurance, friendly visiting, and other services.

Reporting

- CAARS
 - Retrieves data on unduplicated counts, units of service, etc.
 - Automates production of CAARS quarterly reports.
 - Computed figures can be modified to accommodate local adjustments.
- Standard Reports
 - Who was served.
 - Who served them (which providers; which employees).
 - What services they received, at what level.
 - How much it cost to serve them.
 - What outcomes were achieved.
 - Presents graphs as well as tabular data.
- Custom Reports
 - Users can analyze data available from the PDS database and create their own reports.

Events

- Automatically logs major events for clients, employees and providers, e.g., for a client: initial data entry, intake screening, waiting list addition, activation of services.
- Users may add events to the file manually as well.

Data Transmission

- *Check Out* feature allows an authorized user to temporarily move a client's record from the central computer to a remote computer (a laptop or a desktop in a different office).
- *Transfer* feature allows a client's record to be sent to multiple sites. The transferred record can be viewed or revised at each site; updates can be sent to the central computer.

Table 7: PDS 4.0 New Features

- Last 5 clients per user readily accessible without searching
- Standard Windows 95 conventions: toolbar buttons at top, tree structure, standardized icon buttons, use of "Wizard-type" demo's (screen cams) added to Help
- Navigation drop down menu's for Query & Modify
- Enhanced Reports/Forms
- Access to Worker Log, Event, Tickler and Email from anywhere in the application
- Security Enhancements: by user/client relationship; by location
- List of tabs visited with an indication of where data was saved
- Can print any screen
- Print assessment document (blank plus completed)
- Internet Email address can be recorded for clients, providers, employees, contacts, etc. and later accessed through an address book. Standard send/receive feature, including save into Event files. Email for Client Transfer and Check-in/Check-out.
- Can modify existing zip codes & add entries for non-standard boundaries.
- Contacts can be entered once and you can enter multiple classifications. Can have same contact for multiple clients. Enter once. System will Search after that.
- Contacts can be retrieved for multiple clients
- Case Notes: Can retrieve by date range; includes a search capacity; can add amendments to notes
- Care Plan: Now separate from Prior Services; can include AAA funded services, informal services, non-AAA services; can now add tasks to be done for services; includes links to comments, contacts, key indicators, ADLs/IADLs
- Completed Services: now posted automatically to this screen when a termination date is added to a service in the Care Plan
- Comment fields added to any screen where appropriate
- Security access: can limit access to a workers own client caseload only; can limit access by location (e.g., work unit, sub group); can use preloaded profiles (e.g., standard Case Management worker); can develop user defined profiles (Nutrition worker)
- Added a spell check feature which applies to areas where you fill in information (e.g., Case Notes)
- Ability to assign multiple workers with a particular client; can assign a team of people to be associated with a particular client
- Search on contact by name
- IADL/ADL: Links between IADL/ADL & Contact screen; if information is left blank - system will automatically assume that client can perform; if Contact was filled in, it is automatically brought to this screen.
- Events/Tickler: added a text search function

Lessons Learned

Due to a variety of circumstances implementation at the demonstration sites was not completed. Some of those circumstances were external to the ASNet project, such as changes in local leadership, diversion of county resources to more pressing issues, and involvement of local IT staff in Y2K efforts.¹⁶ Others were related to the ASNet project or other elements of the Aging Services Client Based Service Management System project on which the ASNet project was built. Continuous feedback from the demonstration sites as well as the administration of a questionnaire (shown in Appendix 7) provided the basis for changes in the management of the project. A summary of the major lessons learned is provided below.

Software must be tested thoroughly prior to its release

The local connectivity aspects of ASNet were based on the implementation of the Provider Data System (PDS) software. PDS is client-centered service management software that is used by aging service workers to conduct assessments and reassessments of elderly clients, develop care plans, and make linkages to service providers. At the start of the ASNet demonstration projects each AAA received a copy of a newly-released version 3.0 of the PDS software. AAAs encountered a number of technical problems with the software during its installation and operation. Although many problems were resolved through technical assistance from SOFA or the software developer, AAAs found these efforts daunting. Some of the features on which the ASNet project plans were dependent were not working, for example the "Check In/Check-Out" and "Transfer" features. The "Check In/Check-Out" feature was which were designed to enable a field worker to "check out" specific client data from the PDS data base, conduct home visits, and then "check in" the updated data. The "Transfer" feature was designed to enable a client record, created at one site, to be transferred to another. Feedback from staff at the demonstration sites emphasized their frustration with the software at the start of the ASNet project.

In response to this finding SOFA worked with its partners at the New York City Department for the Aging (DFTA) and at Softek, the software developer under contract to DFTA, to strengthen the software testing practices. Based on feedback from the demonstration sites a key change was made in the installation process. Installation of the software had been conducted via modem connections using remote control software (pcAnywhere) so that a technician at the software developer could manually install the software on the remote AAA computer. This was an hours-long process which was too often slowed or interrupted by poor telephone connections. As a result, subsequent

¹⁶ In Franklin County the AAA director retired, the county was besieged by an ice storm, and difficulties were encountered in converting an existing database for use by PDS. In Albany County the AAA director went on maternity leave and a critical staff person at a provider agency went on personal leave and then assumed a different job when he returned. In New York City, at the Jewish Association for Services for the Aged, the technology director resigned and was not replaced.

versions were distributed on CD-ROM with an automated installation program that required only limited custom installation by the technician. The "Check In/Check-Out" and "Transfer" features were rewritten so that they were integrated with PDS and easier to use (previously these features relied on the use of separate commercial software products and involved multiple steps). The ability to transmit client data via email or diskette was added.

Overall testing of the software was strengthened to reduce the likelihood that bugs would appear in the software once it was released to the field. The software developer increased its testing so that alpha and beta versions were more robust. SOFA strengthened its testing efforts by assigning staff to test specific features and having the same staff track and retest the changes made by the developer. Releases of subsequent versions (3.5 and 4.0) were made only after SOFA and DFTA staff were confident that the software was workable.

Computer technical assistance must be available at the local level

The need for technical assistance at the local level was recognized at the inception of the project, but the experiences at the demonstration sites emphasized its critical role. At the AAA level technical issues had to be addressed regarding the purchase and installation of computer equipment; linking new equipment to existing LANs; creating new LANs; installing the PDS software and the database engine on servers, stand-alone PCs and laptops; converting existing client and provider data bases; configuring laptops to work with cell-phone modems; configuring bar-code readers to work with PDS loaded on PCs; and ensuring that the LAN back-up procedure covered the PDS database.

While AAAs expected to rely on the computer technical support available from their county government (of which AAAs are a part) they found that their technical assistance needs were larger than they anticipated and that the county computer departments were devoting their staff resources to fixing Year 2000 problems and were not making themselves available to assist in project initiatives such as ASNet.

Local project management must be clearly defined and adequately staffed

Although many of the implementation difficulties at the demonstration sites stemmed from unpredictable changes in local leadership that were unrelated to ASNet, the demonstrations made clear the need for project oversight, management, and staffing at the local level. In particular, evaluation of the implementation progress at the demonstration sites brought into focus the need for the following:

- Local Structure for Planning, Implementation and Management

An on-going process and structure for project management is required to address emerging needs and problems and monitor implementation progress. Regular and frequent communication is required among all those involved. Information should be exchanged regularly among local users.

- Project Manager
A single AAA staff member, who is familiar with the programs and services provided by the AAA and its subcontractors, should be designated as the Project Manager. This individual should: manage the implementation of the project for the AAA; be the principal point of contact for SOFA, DFTA, Softek and any other partners; coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project; and work with AAA staff and sub-contractors to determine how the technologies will be implemented within the AAA's planning and service area.
- Systems Technical Support Coordinator
A single individual with computer-technical skills should be identified to serve as the Systems Technical Support Coordinator. This individual should: work with the Project Manager; provide training and technical assistance to all end-users within the AAA's planning and service area regarding all aspects of technology implementation and systems development; and be the single point of contact for all software and hardware related technical issues, both to seek technical assistance on behalf of end users as well as to report any apparent problems.
- Local Computer Technical Support:
How local technical support will be provided should be made explicit including the technical support necessary to support the local computing environment, install and operate the new technology, and how local staff training and procurement of computer equipment will be accomplished.

Those involved in the project must be aware of the extent of the change they envision as well as the pace of change their resources can support.

- Overall Vision
An overall vision should describe what will occur over the next two to four years. The description should include: the agencies and locations where technology will be implemented; which modules of software will be used in each; the number of staff that will be needed; and the long range goals and objectives that the AAA is striving to achieve through this program initiative.
- First Year of Initial Implementation
The first year implementation should be described including: the goals and objectives that the AAA is striving to achieve; the agencies and locations where technology will initially be implemented; which modules of software will be used in each; and which staff will be involved.
- Current System/Process
For the agencies and locations where technologies will initially be implemented a description should be written of how the required functions are currently performed.

- Job Responsibilities:
A description of how workflows and job responsibilities will be changed by the introduction of technology.
- Implementation Time Line
A list of initial year project tasks, time frames and staff responsible for completion.
- Resources Needed
Specific resources should be identified that will be needed to implement the plan during the first year (e.g., hardware, software, other related equipment, additional staffing, training).

These planning and implementation insights were codified in the form of a guidance document that was distributed by SOFA to the AAAs in the spring of 1998. A revised version of that document is included in Appendix 8. Illustrative examples of implementation plans were also provided to AAAs and are shown in Appendix 9. To ensure the timely and thorough review of Implementation Plans, SOFA developed a detailed review process, shown in Appendix 10. Further, AAAs were required to sign a document to indicate that they would adhere to the implementation guidelines as a condition of their use of the PDS software. This document is provided in Appendix 11.

Use of laptop computers for in-home assessments must be initiated thoughtfully

In one of the demonstration sites a laptop computer with PDS was assigned to a case worker. Although the field staff were not able to get the PDS "Check In/Out" feature to work, the case worker used the laptop's word processor to take case notes with a few clients. The case worker, an enthusiastic supporter of the use of computers in aging services, reported that he received some strong negative reactions, and curtailed his use of the laptop with clients.

It was speculated that this reaction on the part of clients might have been a result of the way the computer was introduced in the in-home assessment setting. An enthusiastic case worker might be presumptuous in introducing a laptop and engender a negative reaction from the client. Plausibly, use of a word processor to capture extensive notes might be more intrusive than the use of a point-and-click interface such as that used in PDS. In any case the application of laptops to the in-home assessment setting should be undertaken thoughtfully; it might be useful to provide training to workers regarding how they introduce and present the computer to clients.

SOFA's continuous support and technical assistance is critical

The depth of the changes initiated by AAAs in conjunction with the adoption of PDS and related ASNet technologies produced significant organizational and technological challenges. SOFA must organize and prepare its own staff to help AAAs address these challenges and coordinate its assistance efforts.

Implementation Progress

Adoption of PDS as a tool for sharing client, service and program information has progressed since the initiation of ASNet in 1995. As shown in Table 8 and Table 9, PDS was made available in 1995 to 100 provider sites in New York City and three upstate counties (the demonstration sites). Additional details regarding implementation are given below.

PDS Implementation in New York City

Under the TIIAP ASNet grant, the New York City Department for the Aging (DFTA) implemented the Provider Data System (PDS) and Internet connectivity at one hundred service provider agencies across the City's five boroughs. The 100 sites selected for the ASNet roll-out were DFTA-contracted community-based non-profit service provider agencies. Each site received a preconfigured system station which was networked with existing equipment using Windows For Workgroups. This roll-out began in late September 1996 and was completed in 1997 with regular follow-up including software updates and conversion of Internet accounts from one-time ASNet funding to ongoing program funding. The initial roll-out consisted of the following components:

- Identification of service providers and workers that would receive computer systems, software, Internet accounts, and training. (The selected entities provided services such as case management, home delivered meals, and nutrition programs.)
- Configuration and installation of PDS and Netscape (or alternative) browser and email software on microcomputers and setup of stations at target locations by a vendor;
- Issuance of 100 start-up Internet accounts for PPP dial-up access;
- Training to users on PDS and Internet applications; and
- Ongoing support for PDS and Internet accounts.

The initial roll-out was subsequently expanded to a total of 314 community based service provider sites in New York City as shown in Table 8. Internet connectivity, originally funded for one year under the TIIAP ASNet grant, was continued under the service providers' operation budgets.

PDS and Netscape browser and email software were pre-installed and configured on each of the 100 computer systems by DFTA's vendor prior to delivery to the service provider agencies. DFTA's PDS Technical Support staff tested the installation at each location using PCAnywhere and provided support for installations as necessary. Using TIIAP funds SOFA purchased the Netscape software and provided the information necessary for configuring the software for the Internet accounts provided under the grant. DFTA initiated a regular PDS training schedule for users beginning in November, 1996. In early 1997 SOFA developed and initiated a coordinated Internet software training schedule under the ASNet Internet Service Provider (ISP) contract with Applied Theory, Inc. This introductory training covered the basics of Internet email and World Wide Web information services in a one-day course. SOFA issued one-year start-up Internet PPP dial-up accounts for each of the 100 service provider agencies in the initial roll-out. The

name, password and dial-up number for each account were distributed as part of the introductory Internet training.

DFTA provided (and has continued to provide) ongoing support for its own PDS users as well as for upstate PDS users. Additional Internet support was provided users by the browser software vendor and by the Internet account vendor.

Table 8: PDS Implementation Status for NYC Provider Sites¹⁷

	1995	1999
Implementation underway: PDS in use or awaiting local data conversion	100	314

PDS Implementation in Upstate AAAs

As of June 1999, implementation of PDS was under way in 19 counties, and PDS planning was in process in another 12 counties (see Table 9). The roll-out of PDS occurred in three phases -- June '98, October '98 and May '99. Based on the lessons cited above, SOFA program managers developed a roll-out strategy that involved training, technology support, implementation support, and advanced training as well as the development by the AAA of a formal implementation plan. This roll-out strategy is depicted in Figure 6. Regional training sessions for AAA and provider staff were delivered by SOFA staff in the spring of 1999 in conjunction with the release of PDS 4.0. The PDS 4.0 training outline is presented in Appendix 12.

Implementation progress is carefully monitored so that difficulties at any AAAs are identified and monitored to ensure that they are addressed. The report, which is available to any SOFA staff via the LAN, indicates for each AAA information such as the overall status of PDS implementation at the AAA, which SOFA staff members are working with the AAA, contact information for key staff at the AAA, specific issues that have to be resolved, and the history of implementation progress. This information enables staff to identify recurring problems, alert program managers to unresolved issues, and apply staff resources to prevent bottlenecks. An example of the PDS status report is presented in Appendix 13.

In the spring of 1999 the use of PDS on laptop computers for in-home assessment was initiated by two AAAs. SOFA is monitoring these experiences and has found initial anecdotal evaluation to be favorable.

To illustrate the progress in the adoption of PDS on laptop computers for home visits, SOFA program managers provided the following email which was written by Peter

¹⁷ The Department for the Aging (DFTA) in New York City is the largest AAA in the nation. Services are delivered through a large number of providers and providers typically have multiple sites. Implementation of PDS is tracked at the site level.

Lehmann, one of SOFA's Aging Services Representatives who is the official liaison with Yates county AAA.

Date: Thu, 24 Jun 1999

From: Peter Lehmann <Peter.Lehmann@ofa.state.ny.us>

Subject: The PDS in Yates County

Yesterday, I took the opportunity to accompany Case Manager Pauline Fahrenbacher on a home visit to an 87 year old Level II client in remote Naples (Town of Italy) in which a lap top computer was used to conduct the reassessment.

And, it works!! Not only did I see the laptop being used, I observed the check-out and check-in process at the office as well.

Yates has used the laptop to conduct approximately 20 client assessments and it works quite well. There were a couple of glitches encountered during the visit that I want to bring to your attention:

The ability of the case manager to override the computer. Naples is in Yates County, but the computer defaults to Ontario, since the zip is an Ontario zip and there's no way to change the computer's mind about that.

One of the client's contacts lives in Ohio and there was no way the computer would save the contact information, apparently since it was from a zip code that wasn't in the database. Pauline could not leave the screen and couldn't go to another tab. Later on, when the assessment was printed out after the check-in, Pauline had to write in the contact information on the hardcopy.

Other than that, they are becoming more comfortable in performing the visit using the laptop and the clients are nonplused by this new medium. Plans call for exploring the purchase of another laptop for the HDM program.

Julia Teahan and staff should be proud of their accomplishments with PDS, showing perseverance and a unquenchable desire to make PDS work in Yates County. Yesterday's visit illustrated this very well.

Table 9: PDS Implementation Status for AAAs

	1995	1999¹⁸
Implementation underway: PDS in use or awaiting local data conversion	3	19
Implementation plan in process: attended training; exploring software; plan under development	12	12
Not yet involved or inactive	44	28
Total	59	59

UNI-Form Implementation

In conjunction with the ASNet project SOFA and DFTA embarked on the development of a rules-based computer system, UNI-Form, to automate client eligibility screening and application generation for multiple benefits through a single interview process. The Social Security Administration, New York State Department of Taxation and Finance, and corporate partners provided additional support for the project. This tool is designed to help area agencies on aging and appropriate sub-contract service providers in accomplishing their mission of providing information, assistance, and benefits counseling to the elderly. The advantages for clients include the simplification of the application process and better coordination of service delivery. The system will help caseworkers by making client information more accessible and reducing the time taken for administrative tasks.

An individual seeking to apply for one or more benefit programs would be queried on eligibility for all programs through one intake process on either stationary or portable computers at agency offices, community sites, or in clients' homes. In this way it is expected that additional benefits may be identified for the client. Using "index tabs" to access a series of pages and structured questions, necessary information is collected to complete the screening and application process. The system can prepare:

- completed applications in a format identical to those required by the certifying agencies,
- a list of documents required by the certifying agencies, and
- reports that give the reasons for ineligibility when applicable.

By September 1997 SOFA completed a pilot test of a prototype version of UNI-Form which contained six benefit programs: Home Energy Assistance Program (HEAP), Elderly Pharmaceutical Insurance Coverage (EPIC), Weatherization Assistance Program, Senior Citizen Rent Increase Exemption (SCRIE), LifeLine, and Special Protections. The test was conducted in three sites in New York City: the Burden Center for the Aging, RAIN Multi-Services for Seniors, and the Central Information & Referral Unit at New York City Department for the Aging. Additionally, the New York City Department for the Aging installed a SCRIE-only version of UNI-Form in 34 case management agencies city-wide. This separate implementation allowed the project to test

¹⁸ As reported in the June 23, 1999 PDS Implementation Status Report.

electronic transfer of completed client applications and transmission of scanned support documentation.

Following the field test, project staff completed extensive user interviews to determine their reactions. While users strongly supported the overall concept, they made valuable suggestions for improvements to the system which should shorten the overall length of an interview and improve ease-of-use for intake workers. Based on an analysis of user feedback, staff identified system design changes that would accommodate user needs. DFTA and SOFA reorganized the technical development team for this phase of development which began in early 1998. Major system changes were designed and implemented. This prototype version of the software, which is being tested by SOFA and DFTA, handles the following programs in addition to those mentioned above: Real Property Tax Credit (IT-214), Weatherization, Referral and Packaging Program (WRAP), Food Stamps, Medicaid, and Senior Citizens Homeowners Exemption (SCHE). SOFA does not plan an upstate release until the remaining benefit programs (Supplemental Security Income Program (SSI) and Medicare Buy-in) are included and testing is completed.

APPENDIX 1: PROTECTING PRIVACY AND CONFIDENTIALITY

Protecting Privacy, Confidentiality and Integrity of Information in ASNet Telecommunications and Information Infrastructures

General

The New York State Office for the Aging, its Area Agencies on Aging and local non-profit service provider agencies, receiving funding for services and programs for the elderly under the Older Americans Act and New York State local assistance programs, are required to meet all statutory and regulatory requirements for protecting the privacy and confidentiality of information covered by these statutes and regulations.

Under these requirements, no information on persons served under the Older Americans Act and New York State local assistance programs is to be released to any body or for any purpose not proscribed in statute or regulation. Such "client information" is to be maintained in confidence by all service provider agencies, and be used for the sole purpose of providing assistance and program services to clients. Access to such information by administering Area Agencies on Aging and the New York State Office for the Aging is permitted for the purpose of monitoring program operations for which they have responsibility.

All agencies receiving grants or contracts for programs and services for the elderly from the New York State Office or Area Agencies on Aging must agree to meet all governing statutory and regulatory requirements.

Organization

The New York State Office for the Aging has designated a Security Officer for monitoring and developing security policy and procedures to ensure ASNet compliance with privacy, confidentiality and integrity requirements. The State Office's Counsel will review and approve all aspects of ASNet security policy and procedures. In addition, officers of the State Office for the Aging, including the Director, Executive Deputy Director, Counsel, Deputy Director for Finance and Administration, Records Officer and Information Officer will retain overall responsibility for State Office compliance with privacy, confidentiality, integrity, records and FOIL requirements for information.

Area Agencies on Aging, their non-profit service provider contractors, and other organizations participating in the ASNet project will be required to agree to conform to governing requirements, and to adopt new requirements for protecting privacy, confidentiality and integrity of telecommunications and information infrastructures developed under the ASNet Project, and the broader Aging Services Client Based Management System (CBS). The related procedures and methods of all participating organizations will be subject to review by the ASNet Security Officer and the State Office's Counsel.

Telecommunications and Information Infrastructure Security

Existing and new information infrastructures subject to ASNet privacy, confidentiality and integrity requirements will include information banks and services on: the State Office's internal LAN; public Internet servers maintained off-site and at the State Office; Area Agency on Aging LANs, stand alone computers and Internet servers; participating non-profit service provider agency LANs and stand alone computers; and, case manager and other service provider staff computers.

Telecommunications subject to ASNet requirements will include those for: Internet e-mail and accessing information services via the Internet as the State Office for the Aging, Area Agency on Aging and other end-user connectivity is developed; and, accessing client information services, confidential client information and related e-mail as local demonstrations of CBS "smart" software and connectivity in delivering client services are developed.

State Office's Internal LAN

The State Office's LAN servers provide internal information services that require various levels of security: for example, strict privacy and confidentiality such as personnel records, limited authorized access such as budget systems, and open internal access such as 1990 Census data banks.

LAN policies and procedures are in place and overseen by the State Office's LAN Administrator to ensure required levels of privacy, confidentiality and integrity. These include prior review and authorization for read and write access to each type of information service, systematic backups to LAN server files, agency-wide virus protection, password protected access to the LAN locally and by remote access, and security monitoring of transmissions. As described in the State Office's *Computer Users Guide*, username and password use are mandatory for network access, and must be changed ever 90 days. In addition, network applications must be documented using the appropriate agency form, and reviewed and approved for level of security and read/write permissions pursuant to *Procedure to Add/Change an Application or Data on the Network*.

Under ASNet, the State Office's LAN will be connected to the Internet to provide agency staff access to Internet servers, including e-mail. To protect privacy, confidentiality and integrity of LAN servers and services, a Gauntlet or equivalent application level, proxy based, firewall will be installed between the Internet and the LAN.

The firewall will comply with all Computer Emergency Response Team (CERT) requirements and be routinely updated to provide the State Office's LAN dynamic protection from new Internet security threats. As an application proxy system, only the firewall will have access to the LAN. No direct access or transmissions will be permitted from the Internet. In addition, incoming and outgoing transmissions will be screened and limited to authorized user addresses. No external Internet user will be permitted access to LAN information services or servers. External e-mail access will be limited to a new e-mail server via the firewall proxy, or via a

government MailNet operated by the New York State Office of General Services (OGS) which will comply with security requirements established by OGS for protecting state and local government users, and the privacy and confidentiality of information.

The Security Officer will be responsible for firewall security, and together with the LAN Supervisor, for authorizing permitted user access to and from the Internet.

Public Internet Servers

Public Internet servers will be established under ASNet to provide information services to a broad range of aging network end-users including the elderly, informal caregivers and other segments of the public. These servers, including a WWW Homepage server, will initially be established off-site, and subsequently, if found feasible, moved on-site at the State Office for the Aging.

These public servers will be connected directly to the Internet, outside firewalls to provide full access to the public. They will host only those information services that do not require any level of privacy and confidential information protection.

Security of the integrity of public information services and servers will be necessary to ensure the data provided the public by the State Office for the Aging to assist the elderly and others to make decisions is not altered.

The State Office has designated a System Administrator for all public Internet servers and services. As such, he will be responsible for monitoring and ensuring the integrity of data posted on public servers, including implementation of backup servers, files and related procedures.

There are interactive information services scheduled to be implemented via the Internet which may require the protection of private and confidential information, including information and referral (I&R) and benefit screening services. Client level information will be entered by users but not associated with client identifiers, i.e., the application will not obtain client names or addresses or other potential identifiers. To the extent that such information can be associated with user Internet addresses, the service will be made accessible via the Internet public servers but located behind existing firewalls. In such cases, all requirements and procedures for privacy, confidentiality and integrity of this type of information which is in effect for State Office LAN services will be enforced for new internal Internet services.

Area Agencies on Aging and Other Service Providers

New York State's Area Agencies and other local service providers will be connected to the Internet under ASNet via dial-up accounts, and where feasible leased lines, preferably existing local government WANs and other existing local infrastructures. This connectivity will support e-mail, access to information services on the State Office's public Internet servers, and to specialized information services for Area Agencies and network service providers.

No client level information with client identifiers requiring strict privacy and confidentiality will be permitted to be transmitted between these end-users, or from them to the State Office without encryption meeting the requirements set forth by ASNet and the State Office for the Aging for agencies receiving funding under programs and services administered by the State Office for the Aging.

Area Agencies and providers will be required to meet all security requirements to ensure their internal information services and servers housing private and confidential client data are secure from access from the Internet. The specific procedures and methods used by participating Area Agencies and providers will be subject to ASNet review and approval, but are expected to differ based on local requirements and infrastructures. For example, security policies currently exist for CityNet in New York City and for other local government WANs which provide local government agencies and service providers Internet access.

Responsibility for protecting privacy, confidentiality and integrity of internal information servers will be retained by participating Area Agencies, service providers and local government oversight agencies. ASNet will provide technical assistance and oversight to ensure that its requirements are met by local policies.

Dial-up connectivity using modems and Internet accounts to access e-mail and other available information services will meet all applicable requirements for protecting privacy, confidentiality and integrity of information which does not require the strict privacy and confidentiality of client information with associated client identifiers. Dial-up e-mail accounts will be housed behind firewalls.

End users of dial-up accounts will be responsible for compliance with privacy and confidentiality requirements including ASNet policies and procedures.

The ASNet Security Officer will be responsible for implementing a system of monitoring CERT and other alerts of viruses and Internet security problems, and of informing all ASNet end-users of such security risks and counter measures.

Area Agency-Provider Agency-Field Worker Connectivity

There will be four local demonstrations under ASNet in different areas of the state. CBS software will be implemented in conjunction with connectivity between case and service workers in the field, their service provider agencies and their local Area Agencies.

These demonstrations will be developed and implemented with the full involvement of all participating agencies and staff in each location, including representatives of county and local government TII agencies. Each demonstration will be customized to local needs and to use existing infrastructure. An assessment will be conducted in collaboration with local entities in each demonstration area to recommend connectivity and information services for the demonstration. Each assessment will include a vulnerability assessment of both information services and telecommunications, and recommend related policies and procedures as necessary.

to ensure demonstrations are in compliance with State level information privacy, confidentiality and integrity requirements.

Each demonstration will involve the development of a client information or database server(s) which may be located at the service provider agency level or the Area Agency on Aging level, typically community and county levels, respectively. Each will also include the development of connectivity between service workers, service provider agencies and the Area Agency on Aging. Lastly each will include specific protocols for telecommunications of client information, both with and without client identifiers, between each and all of the following "actors" in the local service delivery system: service workers, the client information server(s), service provider agencies, and the Area Agency on Aging.

As generally permitted under existing privacy and confidentiality requirements, client level information with client identifiers are available to provider agencies and service workers who deliver services to clients under programs and services administered by the State Office for the Aging and managed locally by Area Agencies on Aging. Such information is not permitted to be made available to other entities or for other uses except for monitoring programs and services by the State Office or the Area Agency on Aging. All Area Agencies are service providers and have the authority to access client information with client identifiers for purposes of service delivery, as well as for program monitoring.

In addition to general requirements, specific privacy and confidentiality requirements are often imposed by local governments and Area Agencies, by specific programs, and by agreements between Area Agencies and other local agencies which also serve the elderly. In some cases, these requirements impose additional restrictions such as written client releases of confidential information. In other cases, requirements are relaxed to improve overall service delivery, such as interagency authorization for sharing confidential information on clients served by multiple agencies.

The protocols developed for telecommunications of client data, via the connectivity and client information server(s) developed for each demonstration under ASNet, will be shaped to comply with all existing privacy and confidentiality requirements. If any such requirements would prohibit client information sharing consistent with the intent of ASNet demonstration, agreements will be obtained to enable required sharing confidential client information.

Preliminary Vulnerability Assessment of Confidential Client Information

This preliminary assessment provides an overview of where sensitive client data will be stored in local systems under ASNet and broader CBS development, how such data will be transmitted between those places where it is stored, where the points of potential vulnerability are, and what to do to minimize the vulnerability at each of these points.

The system being developed under the ASNet Project and the broader CBS initiative will consist of a network of hardware and software by which computers at the State Office for the Aging, Area Agencies on Aging, provider agencies, and case/service workers will communicate with

each other via the Internet and, for confidential client information, via local WANs and other infrastructures which have seamless connectivity to the Internet. CBS application software is at the core of the system and will be implemented at the service worker, service provider and Area Agency on Aging levels as will be done under the ASNet demonstrations.

In this system, confidential client data will be transmitted and stored locally at the Area Agency on Aging level and below. Client data transmitted via the Internet between Area Agencies on Aging and the State Office and, in some cases, between service providers and Area Agencies on Aging, will be stripped of identifiers (e.g., names, addresses, social security numbers) before it is sent. When received, these client records with no client identifiers will be stored on hard drives on one or more computers at the State Office for the Aging, or Area Agency on Aging offices, and on backup tapes made from these drives. It will be collected only for use in aggregate form based on client level analysis to support the monitoring of service quality, policy development, federal reporting and similar functions. Since no client identifier will be included, client privacy and confidentiality will not be issues either in storage or in transmissions. At the State Office, this information will be stored on the LAN and subject to existing procedures and requirements for authorizing access and protecting the integrity of the data. Similar measures will be required for Area Agencies.

Individual client data records which include client identifiers, and whose confidentiality must therefore be strictly guarded, will be stored in the following places:

- On hard drives on client database servers either in Area Agency on Aging offices or in subcontracting provider agency offices, or both, depending on the configuration adopted by each Area Agency on Aging;
- On hard drives on desktop or laptop computers used by caseworkers in the field and by other service provider workers; and,
- On backup diskettes and tapes made from both of the above.

Client data records with identifiers will be transmitted between computers in the following ways:

- Between laptop computers in the field and database servers in Area Agency on Aging and/or provider agency offices, via wireless LANs using cellular modems and via dial-up modems;
- Between desktop computers of service workers and database servers in Area Agency on Aging and/or provider agency offices, via local WANs or other infrastructure or dial-up modems;
- Among provider agency offices, and between provider agency and Area Agency on Aging offices, via local WANs or other infrastructure or dial-up modems; and,
- Where no infrastructure exists and other options are less feasible, transmission may occur via the Internet.

Thus, the data will be at risk of unauthorized access at the following points:

- In transmission via wireless LANs. Cellular modems work much like cellular phones, whose signals are notoriously easy to intercept. Therefore all data transmitted in this way will require strong protection by encryption. The encryption may be built into CBS application software or into separate telecommunications software modules. Several strong encryption methods are available to meet local requirements.
- In transmission via local WANs or loops. Local government WANs, community networks and similar infrastructures with interfaces to the Internet, provide security of transmissions from the Internet, and can provide internal secured transmissions. However, encryption will still be required to meet privacy and confidentiality requirements placed on local aging network providers for client data with identifiers. Encryption and related protocols must ensure that only those agencies and their staff with authorized access to such data, and no other agencies on the local cloud, can access such data.
- In transmission via dial-up modems. Dial-up transmissions between authorized users will require password protection of dial-up client database servers. In addition, the only way to ensure that only authorized users have access to confidential client information is again to implement encryption of transmissions.
- Any transmission via the Internet. The Internet is an open, public network. Here, as with wireless LANs, any confidential client data transmissions will require strong protection by encryption. Again several strong encryption methods are available which can be assessed for potential use on the Internet. The appropriate method will either be built into CBS application software or added as a separate module before such Internet transmissions are approved.
- In storage on hard drives on computers on Area Agency on Aging or provider-agency LANs connected to local networks or the Internet. Computers connected to the Internet are subject to attack by "hackers" and require firewall protection. This is true even for information not requiring strict privacy and confidentiality because there is a risk not only of breach of confidentiality but also of data being altered or destroyed. No client database servers should be connected directly to the Internet, although it may be permissible to place them on local networks to be accessible from the Internet provided adequate security is provided by the local network. This approach, however, is not recommended at this time. Strong preference should be given to making client database servers accessible via local networks, but unaccessible from the Internet. Local network firewalls can be configured accordingly, while permitting the client database servers to transmit aggregate data out over the Internet to the State Office, and to Area Agencies on Aging who do not require client identifiers.

These computers, and stand alone computers or LANs not connected to external networks but used as client database servers, may also be used on site by persons who are not authorized to have access to sensitive client data. The client data will be stored in a format that is not readily usable except through the CBS application software. ASNet will provide

technical assistance and oversight to ensure that Area Agencies on Aging and provider agencies adopt strong internal and network-related security policies and implement those policies effectively. Both user ID and password protection will be required to prevent unauthorized access to client data. Standard security measures for hardware and files including routine backup, etc. will also need to be adopted by participating agencies. Encryption of client data stored on hard drives will also need to be considered in meeting privacy and confidentiality requirements.

- In storage on laptop computers used by case workers in the field, and on desktop computers used by case and other service workers. The portability of laptops makes them especially vulnerable to loss or theft which can potentially result in unauthorized access to client data. The client data on computers used by service workers will be stored in a format that is not readily usable except through the CBS application software residing on the laptop. As with client database servers above, it will not be possible to run that software without entering a user ID and password. These machines will also be required to be secured at all times with standard backup procedures in effect. Again encryption of client data stored on these machines will need to be considered as an added layer of protection.
- In storage on backup diskettes and tapes made from hard drives on client database servers and either desktop or laptop computers. Backup diskettes and tapes must be secured at all times. When not in use, they must be stored in secure locations. They should be no more vulnerable than document client records, but given the amount of confidential client information they contain, they should be protected by more stringent security requirements.

State Office, Area Agency on Aging, and provider-agency staff using confidential or potentially sensitive information on networked, desktop and laptop computers will require training on all security procedures from performing secured transmissions to securing their computers from unauthorized use or theft. This training should be an integral part of the training required for all ASNet participating agencies and staff.

APPENDIX 2: SOFA INTERNET ACCEPTABLE USE POLICY

Purpose

The New York State Office for the Aging (SOFA) provides access to the Internet to facilitate the official work of the Office. It is expected that SOFA users will use the services and tools provided through the Internet to achieve goals consistent with:

- The operational support, public policy, research and mission of the agency
- Technical support of SOFA's operational mission:
 - Improving work force productivity
 - Enhancing professional development related to SOFA's mission
 - Facilitating and disseminating knowledge
 - Encouraging collaborative projects and resource sharing
 - Fostering innovation
 - Maximizing public domain resource access and sharing
 - Aiding technology transfer

The use of Internet facilities by any SOFA employee or other person authorized by the Office must be consistent with this Acceptable Use Policy.

Acceptable Use

Internet facilities shall be used to support the operational mission of the agency, and research and education for related administrative policy making and regulatory activities. SOFA users are required:

- To respect the privacy of other users; for example, users shall not intentionally seek information on, obtain copies of, modify files or data belonging to other users, unless explicit permission to do so has been obtained.
- To respect the legal protection provided to programs and data by copyright and license.
- To respect the integrity of computing systems; for example, users shall not intentionally develop programs that harass other users or infiltrate a computer or computing systems or damage or alter the software components of a computer or computing system.

Unacceptable Use

It is not acceptable for SOFA users to use Internet facilities:

- For activities unrelated to the SOFA mission;
- For any illegal purpose;
- To transmit threatening, obscene or harassing material;
- To represent themselves as a spokesperson for SOFA unless officially authorized by the Director or his designee;
- For unauthorized distribution of SOFA data and information;
- For distribution of unsolicited advertising;

- To access information or resources, unless permission to do so has been granted by the owners or holders or rights to those resources of information. It is assumed that information and resources accessible via the Internet are private to the individuals and organizations which own or hold rights to those resources and information, unless specifically stated otherwise by the owners or holders of those rights;
- For commercial purposes such as marketing or business transactions between commercial organizations;
- For advertising of products or services;
- For recreational activities, including, but not limited to playing games for personal gain;
- For interference or disruption, including, but not limited to:
 - Propagating computer worms or viruses
 - Making unauthorized entry to other computer information or communication devices or resources
 - Distributing "chain letters," or "broadcasting" messages to lists or individuals, or other types of use which cause congestion or otherwise interfere with the work of others

The guidelines established with this policy are intended to be illustrative of the range of acceptable and unacceptable uses of the SOFA Internet facilities and are not necessarily exhaustive. Questions about appropriate use or specific uses related to security issues not enumerated in this policy statement should be directed to Dave Sutton (43300) or Geri Stewart (40541).

**APPENDIX 3:
ASNET EMAIL EVALUATION: ASRS - AAAS**

Interview Protocol

How often are you in communication with _____ county (whether the communication is initiated by you or by them)? What are the names and positions of the people with whom you communicate?

Name	Position	Frequency (per week or month)

How do you communicate with them?

What percentage of your communication is by:

___% Telephone

___% Memo or letter sent via US mail

___% Fax

___% Face-to-face

___% Other _____

___% Email

When the initial communication is not written, how often do you follow up with a written communication (for documentation or clarification)?

Are these written follow-ups included in your above responses?

When using the telephone how many calls on average are required before you reach the person you are calling?

___ times

APPENDIX 4:
ASSESSING THE AGING WELL WEBSITE

Assessing the Aging Well Web Site

Through A Focus Group Approach

New York State Office for the Aging

George E. Pataki, *Governor*

Walter G. Hoefler, *Director*

1998

2 Empire State Plaza, Albany, NY 12223-1251

ASSESSING THE AGING WELL WEB SITE THROUGH A FOCUS GROUP APPROACH

DESCRIPTION OF THE AGING WELL WEB SITE

The "Aging Well" Web site has been developed by the New York State Office for the Aging (SOFA) in partnership with GlaxoWellcome Pharmaceutical Company and its web consultants, HealthLink Communications, Inc. The goal for this site is to provide mature adults (aged 50+) with information and special tools for promoting health and wellness. It includes sections on Health and Safety, Eating Well, Pharmacy, Fitness and Healing Place. It also includes a News Stand and a Library that link to other valuable aging and health related sites and Internet search engines. A Community Center, which provides a public forum for visitors to enter their comments and suggestions, is also included. This Web site provides a new approach to outreach and public education.

THE FOCUS GROUP APPROACH TO PRODUCT ASSESSMENT

In order to refine the Web site design before it is publicly launched in May, 1998, SOFA conducted several informal focus groups as well as review and discussion meetings. This summary report presents findings from the most recent focus group which was held on April 15, 1998, to generate input from representative customers.

Focus Group Process

Seven SOFA employees aged 50+ participated in the day long focus group meeting. Participants were paired at each Internet work station to view each section of the Aging Well Web site. After each viewing, participants engaged in a structured group discussion to contribute their opinions and suggestions (see Appendix A for sample questions). At the end of the meeting, participants were asked to provide comments and suggestions on the Web site as a whole and on the overall design. Both tape-recording and note-taking were used to record the day's discussions (see Appendix B for agenda of the day).

Characteristics of the Focus Group Participants

The seven participants consisted of:

- Four men; three women
- One an Asian American; six Whites
- Five aged 50 to 59; one aged 60 to 64; one aged 65 or older

Three of the participants have used the Internet daily both at work and at home and the other

four have used the Internet occasionally at work.

Information Collected

Participants provided comments and suggestions on the Web site regarding:

- 1) general impression;
- 2) content -- usefulness, clarity;
- 3) presentation -- color, font, readability; and
- 4) structure -- flow, design, and easy access.

SUMMARY OF RESULTS

The following is a summary of the comments and suggestions made by the participants. The prevalent feeling of participants was extremely positive. In addition to being enthusiastic about learning more about this Web site, participants also felt strongly about wanting to be on the Internet more often. They felt the development of this site was timely and that the content and design were appropriate for mature adults. The following are examples of participants' comments:

Great Quotes

"This web site includes tremendous information. I have a good time with it!!"

"These web-pages are well-founded with technology and information."

"Very impressive! Has most newspapers listed, a New York State map and so much more...."

"I am very surprised about the Library..... So much information, so little time!!"

"The information here reinforces my current health practices."

"I will definitely check this web site out. As we get older, we will focus on aging issues relating to us and this site is extremely useful."

" The site is impressive! I like it. Access is easy. The links are helpful. The content is excellent."

"The ability of this web-page linking to other sites is an enticing feature for me to visit this site again."

"I like the Open Forum feature..... it allows me to communicate with others on aging issues."

"I had problems in the past doing research on the Internet. This Web site may answer my question about how to research aging related issues on the Internet."

"The Pharmacy forms are really good. I can relate to them personally."

"I enjoyed the Fitness and Pharmacy pages.....I want to go back and read more."

"As a research specialist, the ability to look at the journals in the Library saves me so much time."

"The information included in the Pharmacy page serves as a reminder of what medications I am on. For example, with diabetes, if you are unaware of the complications, you may slip from your regiment. With the information available in the Pharmacy, it makes it more clear as to what I should be doing."

"My expectations were definitely met!"

"I really liked the Fire and Safety checklists. They made me think through what I needed to do."

"The Fitness section was my favorite. Showing me how to do the exercises was very helpful and easy to understand."

"People will definitely find this site to be useful. It provides them with the information to do something about their health and safety. It is an excellent resource."

"As someone being over age 50, I found that the sections on Arthritis, Tai Chi and Nutrition information were very useful and apply to my own health and wellness."

"The Aging Well site gives me easier access to sources and encourages me to use the Internet more."

Home Page

- All participants felt that the development of the Web site was timely and the design was appropriate for the audience it intended to reach.
- Participants liked the color and the graphics on the page. However, they suggested that the headings for each of the sections should be separated from the graphics in order to make the headings more distinct. Some also suggested that the icon (the Apple) for the Home Page should be more prominent.
- Participants also liked the flow of each topic; however, those who were less familiar with the Internet would like to include on the page a brief instruction on how to navigate the Web in general and this site in particular.
- Some participants questioned the use of the terms "village" and "buildings" in the Web site (e.g., A Health and Wellness Village, A Fitness Building). They suggested other terms be used to reflect the content of this site.
- Other comments included: add a link to SOFA's Home Page, modify the director's picture in the

welcome message, increase the size of the page on the screen, and include a brief description of the Web site (e.g., an excerpt from the welcome messages by the SOFA Director) on the Home Page.

Health & Safety First

- Participants agreed that this page provided very useful, practical information. They felt that the checklists on home safety, fire and crime were especially valuable because these lists prompted them to think about what they had to do at home.
- Participants felt the site design was attractive and the content was readable; however, they would like the Health and Safety First section be separated into two distinct topics, each with its own individual page.
- Some liked the Java bubbles included in the list; however a few preferred that the bubbles be placed to the right of the text so that these bubbles would not interfere with reading the text.
- Other suggestions included: add links to other crime and safety Web sites; make the title page labels more distinct; change the title for the Crime and Elderly section; and shorten the paragraphs in the Health section.

Eating Well

- Participants felt the checklists included in the Determine Your Nutritional Health and The Warning Signals sections were very helpful and that they could relate to them personally.
- Participants liked the font selection for the text.
- Participants also felt that the information was appropriate, not overwhelming.
- Participants liked the recipe section, and would like it be updated regularly.
- Participants felt the inclusion of links to other nutrition Web sites was a great feature.
- Other comments included: in the Determine Your Nutritional Health section, substitute the word, "result" for "submit" in order to avoid potential confusion, and provide instructions on how to print out the "Nutritional Screening Form."

Pharmacy

- Participants liked the content and felt that the information was pertinent and useful.
- Participants especially liked the checklists included in the Medication and Older Adults Checklist and Cutting Medication Cost sections for their usefulness and practicality.

- Participants suggested that some "hot buttons" be added in order to allow easy movement from the bottom to the top of sections or from one section to another.

Healing Place

- Participants felt that this page was interesting and that the content was very readable.
- Participants liked the font for the text and thought it was easy to read.
- Participants suggested that the title of this page (Healing Place) should be changed.
- Participants would like to see better resources (links to other Web sites) be included.

Fitness

- Participants liked the moving-graphics feature of the Range of Motion Exercises section because it showed them "how to exercise" in a simple and helpful way.
- Participants enjoyed the variety of graphic presentations; however, they would like the site use pictures of older persons in place of younger persons in the motion graphics.
- In the motion exercises, the "back" button for going back one page should have its appearance changed so it is not confused with a person's "back".
- Participants would like to include instructions on how to stop the moving graphics feature in order to print the exercise screen.
- For future development, participants would like to add music and voice description features for exercises.

Community Center

- Participants liked all features, especially the Open Forum feature for its ability to allow users to communicate with other people on aging issues.
- Participants liked the graphics, maps and content included in the community center. They felt that the overall presentation gave a very positive impression.
- The Community Center section includes an Elderly Survey section, which participants thought the questions were good, but it needed to be checked for the spelling and grammar.
- Other suggestions included adding: a chat room; a link to SOFA's Health Insurance Information and Counseling Assistance Program Web site; instructions on how to use the Open Forum; directories of congregate meal sites, transportation services, and senior centers; activities for mature

adults; and an ergonomics section with precautions and suggestions for computer users.

- Participants would also like to have the side-bar for the Web site map or directory be highlighted to indicate the location of the current section.

News Stand

- Participants liked the links features to tap into other Web resources and search engines.
- They suggested that additional New York State local newspapers be included.

Library

- Participants liked the information included and the links to other web sites.
- Participants also liked the ability to go to this library and use its links to do research on the Internet. However, they cautioned that only links that are in working order be included.

General Comments

- Participants felt that paragraphs or text on some pages were too long and needed to be divided.
- Participants also suggested changing paragraphs to bullets whenever possible.
- Other suggestions included: make sure that the indicator for "hot links" is consistent throughout the Web site, and link pages internally (e.g., highlight the side bar and add another layer of menus for long articles).

Future Development

Focus group participants would like to see the following added to the Aging Well Web site:

- Household/Personal financial assistance and money management
- Current scams alerts
- A chat room for questions and answers
- Links to New York State's counties and towns, the State Emergency Management Office, the Elderly Pharmaceutical Insurance Assistance Program, the State Council on Children and Family, other Area Agencies on Aging's Home Pages, and other health and safety Web sites
- An index of all information
- Pre-Retirement Information
- E-mail reminder to visitors to let them know changes have been made

APPENDIX A: SAMPLE QUESTIONS

I. FOR EACH OF THE WEB-PAGES THE FOLLOWING QUESTIONS WERE ASKED TO GUIDE THE DISCUSSION:

1. What were your impressions of the web-page?
 - What is your general impression?
 - How practical and useful is the content?
 - How pleasing to your eyes and easy to read is the information on the site?
 - How easy is the structure of the various topics to access and follow?
2. What three problems do you have regarding accessing information in the web page?
3. What are three features or aspects in particular you like about the web page?
4. From your point of view, what are three strengths and three weakness about the web page?

II. FOR ASSESSING THE Web site AS A WHOLE, THE FOLLOWING QUESTION WERE ASKED TO GUIDE THE DISCUSSION:

1. What were your overall impressions of the Web site as a whole?
 - What is your general impression?
 - How practical and useful is the content?
 - How pleasing to your eyes and easy to read is the information on the site?
 - How easy is the structure of the various topics to access and follow?
2. To what extent do you think the "Aging-well" Web site will be one of your primary sources of information on aging and health?
3. What three suggestions do you have in order to improve the "Aging-well" Web site?
4. With what other similar web sites, i.e., targeted at older Americans are you familiar and what features or resources of those do you like best?
5. Will you do anything new or differently about your health or safety since you have visited the "Aging-well" Web site (e.g., change diet, exercise, check home and self safety, schedule a visit with the doctor)?

APPENDIX B: AGENDA FOR THE FOCUS GROUP

- 9:00 **Welcome/Introduction**
- 9:30 **Viewing:**
 a) the "Aging Well" Home Page
 b) the Health and Safety First Section
 c) the Eating Well Section
- 10:30 **Focus group discussion**
- 11:15 **Break**
- 11:30 **Viewing:**
 e) the Pharmacy Section
 f) the Fitness Section
 g) the Healing Place Section
- 12:30 **Lunch**
- 1:30 **Focus group discussion**
- 2:15 **A brief overview of:**
 h) the Community Center
 i) the News Stand
 j) the Library
- 2:30 **Break**
- 2:45 **Group discussion on the Web site as a whole**
- 3:45 **Questions and Answers**
- 4:00 **Adjourn**

**APPENDIX 5:
DEMONSTRATION SITE SELECTION GUIDELINES**

**Guidelines for Consideration in the Selection of the Three Upstate AAA
Aging Services Network (ASNet) Demonstration Sites
(3/11/96)**

- AAA has experience in utilizing computers for program management, management of client data and/or conducting client-related functions and activities such as client assessment, information and referral, service authorization, etc.
- AAA staffing capacity toward participating in all phases, from start-up through evaluation of the ASNet demonstration, which will establish linkages through the Internet to enable workers to share information across multiple provider agencies in numerous locations.
- Availability of case management staff and provider staff with some computer experience to actively participate in the demonstration.
- Willingness and ability of all key staff, directly involved in the demonstration, to attend training.
- Expressed commitment and support from county government for the project and willingness on the part of key players, that will be directly engaged in the project, to provide letters of support.
- AAA has received a commitment from participating local providers to adjust current operations to accommodate a new and innovative approach to communicating client focused information between the AAA and contract service agencies.

Information to be gathered through each county's self-description

- Foundation for relationships for strong integration in service delivery.
- Have strong case management systems in the county.
- Consideration of the level of participation the AAA plays in their county's long term care service delivery system.

Information to be gathered through in-house county specific records and information

- Demonstrated successful implementation by the AAA to service target populations through linkages across multiple provider agencies.

APPENDIX 6: POTENTIAL EVALUATION CRITERIA

CHEAPER

(for clients, for general public, for other agencies, for own agency)

- Time savings: personnel
- Reduce collecting redundant information from client/informal caregiver
- Reduce collection of redundant data by different aging services staff, other local government agencies, non-profit and private service providers
- Reduce time spent by aging services staff on filling out forms that repeat the same client information
- Reduce time spent by service providers on filling out forms that repeat the same client information
- Reduce time spent on information gathering/reporting by provider agencies, AAAs and SOFA
- Reduce time spent on information communication/reporting by provider agencies, AAAs and SOFA
- Reduce paperwork requirements
- Cost savings: telephone, mailing, printing, travel
- Minimize repeated trips to home care clients

FASTER

(for clients, for general public, for other agencies, for own agency)

- Response time/waiting time: inquiries, requests, processing, transactions (24-hour availability; on demand)
- Client case record information can be easily accessed (exchange and integrate critical client information)
- Improve access to client information (data and critical events) stored in other agencies and providers
- Reduce time required to access client case record information
- Increase the availability of various types of information resources that otherwise would have been difficult to access
- Improve access to official policy documents, census and research data, program instructions, and local service providers information
- Information distribution time, including training

BETTER

(for clients, for general public, for other agencies, for own agency)

- Convenience: central location, more accessible locations
- Improve the ability to access to information from places in the community (e.g., client's home or local library) that normally would not have been accessible
- Consolidation of services: one-stop shopping, fewer steps in a process
- Minimize unnecessary steps for client and provider interactions in the process of service delivery
- Access for the client to programs and services is improved (streamline the service delivery system/reduce the barriers that block access to human services)
- Improved accuracy, fewer errors, greater consistency, more standardization, always up-to-date
- Workers are able to keep up-to-date with changes in services, client circumstances, and program eligibility information, wherever they enter the system
- Enhanced information (service) quality, more useful information (service)
- Clients receive a more appropriate/comprehensive package of services that meet their needs
- Larger number of inquiries, requests, processing, transactions (from more people)
- Increase the number of staff from other entities that have access to information
- Increase the number of AAA staff that have access to information
- Increase the number of SOFA staff that have access to information
- More frequent communication (with same people): information distribution
- Enhance communication capacity between/among agencies and local service providers
- Increased use of services

- Increase in the number of clients that can be served by aging services staff
- Better management practices
- Enhance management of a multitude of aging services, including information and referral, benefit screening and application, case management and service delivery
- Improve the capacity of staff through professional development
- User satisfaction
- Improve client satisfaction
- Improve informal caregiver satisfaction
- Improve aging services staff satisfaction
- Improve service provider satisfaction
- Innovation: new services, new ways of using information
- Greater participation/input/involvement in administrative processes
- Wider communication (to more people): information distribution
- Revenue generation (from customers, general public, other agencies)

**APPENDIX 7:
ASNET DEMONSTRATION SITE EVALUATION
QUESTIONNAIRE**

This questionnaire is intended to better understand the circumstances in which efforts were made to implement ASNet in your county. This first questionnaire is unique, since it asks you only to generate issues that will become the basis of questions in the second survey. It is likely that you never have responded to this type of questionnaire before. There are very few questions. Please think very hard about each one. You are asked, in total, to write only 40 to 50 lines, but these lines are very important because they should reflect your best insights. Please do not complete this questionnaire too quickly: we hope that you are willing to devote at least 30 minutes to considering your answers.

What were the most serious problems that were encountered in trying to implement PDS in your county? (please try to list at least five problems)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

If you were asked to speak positively about the project, what specific aspects of PDS implementation would you say went well? (please try to list at least five positive aspects)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What would you list as the beneficial outcomes to your agency that resulted from trying to implement PDS? (please try to list at least five benefits)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What are the most important reasons why PDS was never fully implemented in your county? (please try to list at least five reasons)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What would say are the beneficial outcomes to your agency from the use of electronic mail? (please try to list at least five benefits)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What were the most serious problems that were encountered in trying to use electronic mail in your agency? (please try to list at least five problems)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What would you say are the beneficial outcomes to your agency from the use of the World Wide Web? (please try to list at least five benefits)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

What were the most serious problems that were encountered in trying to use the World Wide Web in your agency? (please try to list at least five problems)

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

APPENDIX 8: IMPLEMENTATION PLAN GUIDELINES

(November 1998)

Each AAA participating in the PDS Rollout will produce a local PDS Implementation Plan and submit it to SOFA for review and comment. The plan must be finalized prior to initial PDS implementation. After PDS implementation commences, SOFA will routinely monitor AAA implementation progress.

The PDS Implementation Plan will include a brief description covering each of the following points:

LOCAL STRUCTURE FOR PDS PLANNING, IMPLEMENTATION AND MANAGEMENT:

The AAA Director will establish an on-going process and structure for project management, e.g. policies, procedures and practices. The plan will indicate:

- the means that the Director will utilize to ensure that regular and frequent communication occurs among all those involved (e.g., PDS users group).
- how information will be exchanged among local PDS users; and
- how implementation progress will be monitored.

PDS PROJECT MANAGER:

The plan will identify the single AAA staff member who is familiar with the programs and services provided by the AAA and its subcontractors to serve as the PDS Project Manager. This individual will:

- manage the implementation of PDS for the AAA;
- be the principal point of contact for SOFA and DFTA/SOFTEK for the project;
- coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project; and
- work with AAA staff and sub-contractors to determine how PDS will be implemented within the AAA's planning and service area.

PDS SYSTEMS TECHNICAL SUPPORT COORDINATOR:

The plan will identify the single individual with computer-technical skills to serve as the PDS Systems Technical Support Coordinator. This may be the same individual as the PDS Project Manager. This individual will:

- work with the PDS Project Manager and provide training and technical assistance to all PDS end-users within the AAA's planning and service area regarding all aspects of PDS software implementation and systems development; and
- be the single point of contact for all software and hardware related technical issues, both to seek technical assistance on behalf of end users as well as to report any apparent problems with the software.

OVERALL VISION FOR PDS IMPLEMENTATION:

A description of the overall vision for PDS implementation that will occur over the next 2-4 years. The description will include:

- the agencies and locations where PDS will be implemented;
- which modules of PDS will be used in each; and,
- the number of staff that will be needed.
- The plan will also include the long range goals and objectives that the AAA is striving to achieve through this program initiative.

CURRENT SYSTEM/PROCESS WHERE PDS WILL BE IMPLEMENTED:

A description of the current system/process that is being considered for change through the implementation of PDS. The description will include how the agencies and locations where PDS will initially be implemented currently perform required functions.

SCOPE OF INITIAL PDS IMPLEMENTATION:

A description of the first year PDS implementation that includes:

- the agencies and locations where PDS will initially be implemented;
- which modules of PDS will be used in each; and,
- which staff will be involved.
- The plan will also include which goals and objectives that the AAA is striving to achieve during the initial year through this program initiative (e.g., automated client records to facilitate reporting; comprehensive client information for better service delivery).

WORKFLOWS AND JOB RESPONSIBILITIES:

A description of how workflows and job responsibilities will be changed by the introduction of PDS, including how these changes fit in with the AAA's implementation of the Minimum Data Set (MDS), if applicable.

AN IMPLEMENTATION TIME LINE:

A list of initial year project tasks, time frames and staff responsible for completion.

LOCAL COMPUTER TECHNICAL SUPPORT:

The plan will describe:

- local technical support will be provided (e.g., to support its own computing environment, LAN, hardware and software, etc.) including that necessary to install and operate the PDS software and the computer(s) on which it will be used.
- local staff training and procurement of computer equipment will be accomplished.

RESOURCES NEEDED:

The plan should identify the various resources needed to implement the plan during the initial implementation period of the first year. This list might include computer hardware, software, or other related equipment needs - modems, printers, scanners, etc. In addition, the AAA should also identify any other resources that are needed to support the PDS implementation, e.g. additional staffing, training, etc.

APPENDIX 9: IMPLEMENTATION PLAN EXAMPLES

EXAMPLE A

LOCAL STRUCTURE FOR PDS PLANNING, IMPLEMENTATION AND MANAGEMENT:

Jim Pierce, the AAA Director, has established a process and structure for on-going project management. He will convene project meetings every two weeks or on a more frequent basis, as needed. Director Pierce will utilize these meetings to ensure that frequent project related communication occurs among all project staff. He has set several important objectives that will be accomplished through these meetings: discuss and develop the AAA's plan for PDS implementation; ensure that information (e.g. issues, concerns, and achievements) regarding all aspects of on-going project implementation are discussed and exchanged among project staff; formally track progress related to the project's implementation plan timeline.

PDS PROJECT MANAGER:

Director Pierce has assigned Katlin Cruz to serve as the PDS Project Manager. Katlin is an AAA staff member who has been with the AAA for a number of years and is very familiar with the programs and services provided by the AAA and its subcontractors. She has been given the responsibility to manage the implementation of PDS for the AAA. Ms. Cruz will assist the Director in convening and conducting business at the project meetings. She will serve as the principal point of contact for SOFA as well as SOFTEK. She will formally document and bring issues, concerns, achievements to the attention of SOFA and SOFTEK as they occur. As a part of her formal responsibilities, Katlin will coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project. Katlin will work daily with AAA staff and sub-contractor staff and ensure that the project stays on track.

PDS SYSTEMS TECHNICAL SUPPORT COORDINATOR:

Director Pierce has designated Sally Smith to be the PDS Systems Support Coordinator. Sally has strong computer-technical skills; she is on staff at the county's MIS Department. Sally will work closely with Katlin Cruz, PDS Project Manager. Sally will provide training and technical assistance to all PDS users within the AAA's planning and service area regarding all aspects of PDS software implementation and systems development. Sally will serve as the single point of contact for all software and hardware related technical issues related to the project. As part of her formal responsibilities, Sally will seek technical assistance on behalf of PDS users, and she will report any apparent problems with the software to the project manager.

CURRENT SYSTEM/PROCESS WHERE PDS WILL BE IMPLEMENTED:

AAA staff perform all assessments for in-home care and home delivered meal clients using the COMPASS. Sub-contractors provide home care and home delivered meal services.

OVERALL VISION FOR PDS IMPLEMENTATION:

A central PDS client database is established. The central database includes all clients who have been assessed by AAA staff for EISEP and HDM services. Client data is collected through the PDS only once and shared by authorized staff. Laptops equipped with PDS are used in the field by AAA staff to perform client assessments. Sub-contractors are connected to the AAA's central data base through a wide area network (WAN). The HDM Meals provider utilizes PDS Routing Function. Electronic referral and sharing client information between the AAA and its subcontractors is performed routinely.

SCOPE OF INITIAL PDS IMPLEMENTATION:

- PDS will be installed on a single desktop at the AAA.
- All client assessments and reassessments will be initially conducted using the COMPASS. Client data from the COMPASS will be keyed into the PDS data base.
- Information about actual services to clients will also be entered into the data base, after it has been submitted by the service providers.
- Client assessments using laptops will be phased-in beginning in year two.

WORKFLOW AND JOB RESPONSIBILITIES:

The process that AAA staff follow in performing client assessments in the field with the COMPASS is not changed. Client assessment information from the COMPASS is keyed into the PDS. The amount of data entry for employees, providers and clients has prompted the AAA to hire an additional part-time data entry staff person, who is a former Title V enrollee. A central PDS client database is established. The central PDS client database includes all clients who have been assessed by AAA staff for CBLTC services.

IMPLEMENTATION TIMELINE:

- Identify staff assignments, roles and responsibilities Date
- Purchase desktop computer Date
- Install PDS software Date
- Hire new part-time data entry staff person Date
- Provide training to AAA staff Date
- Complete initial entry of employee, provider and client data the database Date
- Establish an on-going process and begin entering client information into PDS Date

LOCAL COMPUTER TECHNICAL SUPPORT:

Director Pierce has met with the local county MIS Director Sam Stevens. Director Pierce and Director Stevens have agreed to arrangements for technical support from the county's MIS shop. The county's MIS department will provide general computer support (e.g., to support the local computing environment, Local Area Network (LAN), hardware and software, etc.) including that necessary to install and operate the PDS software and the computer on which it will be used. It was agreed that all local technical support will be channeled through the PDS Systems Support Coordinator, Sally Smith.

RESOURCES NEEDED:

- (1) Desktop computer
- (1) Modem
- (1) pcAnywhere
- (4) Laptop computers

EXAMPLE B

LOCAL STRUCTURE FOR PDS PLANNING, IMPLEMENTATION AND MANAGEMENT:

AAA Director Joe Pike has established an on-going process and structure for project management. Director Pike will convene project meetings every month or more often if needed. The project meetings which will include all staff who have a role in the project (e.g., PDS users and appropriate managers), ensure that frequent project related communication occurs among all project staff. Director Pike has set several important objectives that will be accomplished through these meetings: discuss and develop the AAA's plan for PDS implementation; ensure that information (e.g. issues, concerns, and achievements) regarding all aspects of on-going project implementation are discussed and exchanged among project staff; formally track on-going progress related to the project's implementation plan timeline.

PDS PROJECT MANAGER:

Director Pike has designated Kevin Carney to serve as the PDS Project Manager. Kevin is the AAA Services Coordinator; he has been with the AAA for a number of years and is very familiar with the programs and services provided by the AAA and its subcontractors. He has been given the responsibility to manage the implementation of PDS for the AAA and he will assist the Director in convening and conducting business at the project meetings. Kevin will serve as the principal point of contact for SOFA as well as SOFTEK. He will formally document and bring issues, concerns, achievements to the attention of SOFA and SOFTEK as they occur. As a part of his formal responsibilities, Kevin will coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project. He will work daily with AAA staff and sub-contractor staff and ensure that the project stays on track.

PDS SYSTEMS TECHNICAL SUPPORT COORDINATOR:

Kevin Carney has also been designated to be the PDS Systems Support Coordinator; he has strong computer-technical skills and had been previously employed by the county's MIS Department for several years. Kevin will serve the project as both the PDS Project Manager as well as the PDS Systems Technical Support Coordinator. Director Pike, with consultation from the County's MIS Director, has clearly defined Kevin's technical support role in the project. Through an agreement with the County's MIS Director, the County's MIS Department will serve as an on-going resource to assist Kevin as the project develops. He will provide training and technical assistance to all PDS users within the AAA's planning and service area regarding all aspects of PDS software implementation and systems development. Kevin will serve as the single point of contact for all software and hardware related technical issues related to the project. As part of his formal responsibilities, Kevin will seek technical assistance on behalf of PDS users as well as report any apparent problems with the software.

CURRENT SYSTEM/PROCESS WHERE PDS WILL BE IMPLEMENTED:

Staff from the Area Agency perform all assessments for EISEP and Social Adult Day Care clients and provide Case Management for all EISEP clients. HDM client assessments are conducted by contract agency staff using the COMPASS. The Area Agency has a local area network and computers for all of its 6 staff. There are also two laptop computers available to conduct client assessment in the field, but staff have not yet used them for this purpose. I&R contact information is currently logged on legal pads and the AAA's hard copy Community Resource Directory is used to provide information to individuals seeking assistance.

OVERALL VISION FOR PDS IMPLEMENTATION:

A central database within the Area Agency includes all clients who have been assessed for and are receiving EISEP, Social Adult Day Care services and Home Delivered Meals. PDS is available on a local area network within the AAA. Client and provider information can be concurrently accessed by 6 AAA staff. Laptops are used in the field for client assessments. Utilization of the laptops is possible through the PDS check-in/check-out feature. A senior center will begin using the PDS Bar Code feature for congregate activities. I&R information is maintained within the I&R module of PDS database. After the first year, the HDM assessments will be included in the PDS database.

SCOPE OF INITIAL PDS IMPLEMENTATION:

- PDS is installed on the AAA's Local Area Network to enable concurrent access to the central database by AAA staff.
- AAA staff conduct client assessments on laptops using the PDS.
- The I&R worker begins using the PDS I&R Module to capture information on individuals seeking assistance.
- The Provider Data Base is utilized through the PDS I&R Module.

WORKFLOW AND JOB RESPONSIBILITIES:

AAA staff perform client assessments in the field utilizing laptops with PDS installed. Client records are checked out of the central PDS client data base, used in the field and checked-back in. AAA staff begin utilizing the PDS Provider data base and share client information across programs. The I&R worker begins to utilize the PDS I&R Module during the course of routine service provision.

IMPLEMENTATION TIMELINE:

- PDS installed on the AAA local area network Date
- PDS training provided to AAA staff, including use of I&R Module and PDS Transfer feature Date
- Complete initial entry of employee, provider and client data into the database Date
- An on-going process/protocol for utilizing laptops in the field and in the I&R process is established Date

- Staff begin to use laptop computers to conduct client assessments/
reassessments Date
- Staff begin utilizing the PDS and begin capturing client assessment
information through the PDS Client Module as well as through
the PDS I&R Module Date

LOCAL COMPUTER TECHNICAL SUPPORT:

Director Pike has met with the local county MIS Director Sam Friendly. Director Pike and Director Friendly have agreed to arrangements for technical support from the county's MIS department to provide general computer support (e.g., to support the local computing environment, Local Area Network (LAN), hardware and software, etc.) including that necessary to install and operate the PDS software and the computer on which it will be used. It was agreed that all local technical support will be channeled through the PDS Systems Support Coordinator, Kevin Carney.

RESOURCES NEEDED:

- (1) Desk Top Computer
- (1) Lap Top Computers
- (1) pcAnywhere
- (1) modem
- (1) Multi-user license of SQLAnywhere, the database engine used with PDS,
(along with periodic upgrades as necessary)
- Local technical support for hardware, purchasing, and installation/operation of locally owned software such as Network Operating System, Windows, pcAnywhere, and the SQL Anywhere database engine.

EXAMPLE C

LOCAL STRUCTURE FOR PDS PLANNING, IMPLEMENTATION AND MANAGEMENT:

In order to ensure that the goals and objectives of this program initiative are met, Mary Keyes, AAA Director has established an on-going process and structure for on-going project management. Director Keyes will convene project meetings every 2 weeks or more often if needed. Project meetings will include all staff who have a role in the project (e.g., PDS users, appropriate managers, and sub-contractor staff). Director Keyes will utilize these meetings to ensure that frequent project related communication occurs among all project staff. Director Keyes has set several important objectives that will be accomplished through these meetings: discuss and develop the AAA's plan for PDS implementation; ensure that information (e.g. issues, concerns, and achievements) regarding all aspects of on-going project implementation are discussed and exchanged among project staff; formally track on-going progress related to the project's implementation plan timeline.

PDS PROJECT MANAGER:

Director Keyes has designated Cathy Long to serve as the PDS Project Manager. Cathy is an AAA Aging Services Coordinator who has been with the AAA for a number of years and is very familiar with the programs and services provided by the AAA and its subcontractors. Cathy has been given the responsibility to manage the implementation of PDS for the AAA. Cathy will assist the Director in convening and conducting business at the project meetings. Cathy will serve as the principal point of contact for SOFA as well as DFTA/SOFTEK. She will formally document and bring issues, concerns, achievements to the attention of SOFA and DFTA/SOFTEK as they occur. As a part of her formal responsibilities, Cathy will coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project. Cathy will work daily with AAA staff and sub-contractor staff and ensure that the project stays on track.

PDS SYSTEMS TECHNICAL SUPPORT COORDINATOR:

Director Keyes has assigned Sam Meed to be the PDS Systems Support Coordinator. Sam has strong computer-technical skills and has been employed by a local computer support and development contractor for several years. Through discussions with the contractor, Director Keyes has clearly defined Sam's role in the project. It was agreed that Sam will work closely with Cathy Long, PDS Project Manager. In addition, Sam will provide training and technical assistance to all PDS users within the AAA's planning and service area regarding all aspects of PDS software implementation and systems development. Sam will serve as the single point of contact for all software and hardware related technical issues related to the project. As part of his formal responsibilities, Sam will seek technical assistance on behalf of PDS users as well as report any apparent problems with the software to the project manager.

CURRENT SYSTEM/PROCESS WHERE PDS WILL BE IMPLEMENTED:

Staff from the Area Agency perform all assessments for EISEP clients using the COMPASS. HDM clients are assessed by the HDM subcontractor using the COMPASS. The Area Agency has a local area network and computers for all of its 8 staff. There are also two AAA laptop computers available to conduct client assessment in the field. The HDM subcontractor has one laptop and three desk top computers, none of which are networked. The HDM subcontractor will begin to utilize the PDS for client assessments as the project begins.

OVERALL VISION FOR PDS IMPLEMENTATION:

A central database within the Area Agency includes all clients who have been assessed for and are receiving EISEP and Home Delivered Meals services. PDS is available on the AAA local area network. Client and provider information can be concurrently accessed by 8 AAA staff and 2 subcontractor staff. Laptops are used in the field for both EISEP and HDM assessments, employing the PDS check-in/check-out feature. Client information as well as local provider information is shared daily between the AAA and the HDM subcontractor through a wide area network. The HDM subcontractor utilizes the PDS Routing Function for HDM routes. Within the first two years, the assessment function for Social Adult Day Care clients is added.

SCOPE OF INITIAL PDS IMPLEMENTATION:

- PDS is installed on the AAA's Local Area Network to enable concurrent access to the central database by AAA and designated subcontractor staff;
- A Wide Area Network is developed and implemented that will enable the sharing of PDS data base information between the AAA and HDM subcontractor;
- A desktop computer at the HDM subcontractor's site is networked to the AAA's central PDS client data base;
- pcAnywhere is installed at the AAA and HDM subcontractor.

WORKFLOW AND JOB RESPONSIBILITIES:

AAA and subcontractor staff perform client assessments in the field utilizing laptops with PDS installed. Client records are taken out of the central PDS client data base, used in the field and checked-back in. AAA and subcontractor staff begin utilizing the PDS Provider data base and share client information across programs.

IMPLEMENTATION TIMELINE:

- | | |
|---|------|
| - Computers purchased by providers and PDS installed | Date |
| - PDS installed on the AAA's local area network; PDS training provided to AAA and provider staff, including use of Transfer feature | Date |
| - A Wide Area Network is established for use by the AAA and subcontractor | Date |
| - Complete initial entry of employee, provider and client data into the database | Date |

- An on-going process/protocol for utilizing laptops in the field is established Date
- Staff begin using laptop computers for CBLTC assessments Date
- Staff begin utilizing the Provider data base and capturing client assessment information through PDS Date

LOCAL COMPUTER TECHNICAL SUPPORT:

Director Keyes has made arrangements for technical support through a local contractor to provide general computer support (e.g., to support the local computing environment, Local Area Network (LAN), hardware and software, etc.) including that necessary to install and operate the PDS software and the computer on which it will be used. It was agreed that all local technical support for the PDS will be handled by the contractor through Sam, PDS Systems Support Coordinator.

RESOURCES NEEDED:

- (1) Desktop computer
- (2) Laptop computers
- (1) pcAnywhere
- (1) Modem
- (1) Multi-user license of SQLAnywhere, the database engine used with PDS (with periodic upgrades as necessary)
- Local technical support for a wide area network, related hardware, purchasing, and installation/operation of locally owned software such as Network Operating System, Windows, pcAnywhere, and the SQL Anywhere database engine.

APPENDIX 10: PROTOCOL FOR REVIEW AND FOLLOW-UP ON PDS IMPLEMENTATION PLANS

Aging Services Representatives (ASRs) will invite AAAs to participate in the rollout of PDS and send them the PDS Implementation Plan Guidelines, Examples of AAA PDS Implementation Plans, Costs Related to PDS Implementation, and Provider Data System Assurances. The timing of this transmittal will depend upon the ASR's estimate of the AAA's local situation and readiness for preparing and submitting this plan. The PDS Implementation Plan and the signed Standard Assurances are necessary components in the process of full PDS implementation by the AAA. They must have an acceptable/viable plan before SOFTEK will connect them for full PDS implementation.

1. Each of the PDS Implementation Plans submitted by the AAAs will receive a written programmatic review by Mike Paris. Each of the PDS Implementation Plans submitted by the AAAs will also receive a written technical review by either Linda Shahan or Steve Sconfienza. Each of these written reviews will be distributed by email to the ASR, the ASR's supervisor Colwyn Allen and/or Gail Barton, John Snyder, Steve Walter, Linda Shahan, Steve Sconfienza, and Mike Paris.

2. Upon agreement by the above staff that a AAA's PDS Implementation Plan is acceptable, the ASR will draft a letter to the AAA advising them of this fact. A copy of the letter accepting the plan, and a copy of the accepted AAA's PDS Implementation Plan will be provided to SOFTEK. The completion of this step will be Softek's signal to contact the AAA to enable the complete PDS data base for use by the AAA. A copy of the letter will also be distributed by email to the ASR, the ASR's supervisor Colwyn Allen and/or Gail Barton, John Snyder, Steve Walter, Linda Shahan, Steve Sconfienza, and Mike Paris.

3. If the PDS Implementation Plan submitted by a AAA raises programmatic and/or technical issues or concerns, a collaborative review will be conducted by the above staff. The above staff will implement a formal plan for follow-up with the AAA to specifically address the programmatic and/or technical issues or concerns that have been raised. The follow-up activities include:

- a letter from the ASR to the AAA acknowledging receipt of the plan that identifies any issues or concerns which have been raised.
- a telephone conference call to the AAA, coordinated by the ASR, to discuss the programmatic and/or technical issues or concerns that have been raised. The conference call will include the ASR, Mike Paris, Linda Shahan and/or Steve Sconfienza.
- a field visit to the AAA, if deemed appropriate by the above staff, to discuss the programmatic and/or technical issues or concerns face-to-face. The field visit will be coordinated by the ASR. The field visit will include the ASR, Mike Paris, Linda Shahan and/or Steve Sconfienza.

4. After programmatic and/or technical issues or concerns have been resolved to the satisfaction of AAA and SOFA staff, the ASR will request that the AAA to submit a revised Implementation Plan. The revised Implementation Plan will be submitted to the ASR within a mutually agreed upon time frame. The revised Implementation Plan should reflect all programmatic and technical changes that were affected to ensure that the plan is viable. The revised plan will be distributed to the appropriate SOFA staff.

5. Upon agreement by the above staff that a AAA's revised PDS Implementation Plan is acceptable, the ASR will draft a letter to the AAA advising them of this fact. A copy of the letter accepting the plan, and a copy of the accepted AAA's PDS Implementation Plan will be provided to SOFTEK. The completion of this step will be Softek's signal to contact the AAA to enable the complete PDS data base for use by the AAA. A copy of the letter will also be distributed by email to the ASR, the ASR's supervisor Colwyn Allen and/or Gail Barton, John Snyder, Steve Walter, Linda Shahan, Steve Sconfienza, and Mike Paris.

APPENDIX 11: PROVIDER DATA SYSTEM ASSURANCES

This document assures that _____, the Area Agency on Aging in _____ County, hereinafter referred to as "AAA," agrees to the provisions contained herein as a condition of its use of the Provider Data System software, hereinafter referred to as "PDS."

INTRODUCTION

PDS, statewide Version 3.5, is provided at no cost to New York State's Area Agencies on Aging (AAAs) for the use by the AAAs and their subcontractors within New York State. This agreement specifies the terms of use of this software. PDS is a proprietary product of the City of New York and is protected by the United States Copyright Laws. Software development and installation are provided by the New York

City Department for the Aging and its subcontractor, Softek, Inc. Training and technical support is provided by the New York City Department for the Aging, Softek, and the New York State Office for the Aging, which also plays a key role in the ongoing development of the software and coordinates its distribution outside of New York City.

PDS IMPLEMENTATION PLAN

Each AAA participating in the 1998 PDS Rollout will produce a local PDS Implementation Plan and submit it to SOFA for review and comment. After an Implementation Plan has been initiated, progress will be routinely reviewed by SOFA.

The PDS Implementation Plan will include a brief description covering each of the following points:

LOCAL STRUCTURE FOR PDS PLANNING, IMPLEMENTATION AND MANAGEMENT:

The AAA Director will establish an on-going process and structure for project management. The plan will indicate the means that the Director will utilize to ensure that regular and frequent communication among all stakeholders occurs (e.g., PDS users group). The plan will indicate how information will be exchanged among local PDS users and how progress with implementation of the plan will be monitored.

PROJECT MANAGER:

The plan will identify the single AAA staff member who is familiar with the programs and services provided by the AAA and its subcontractors to serve as the PDS Project Manager. This individual will:

- manage the implementation of PDS for the AAA;
- be the principal point of contact for SOFA and DFTA/SOFTEK for the project;

- coordinate the AAA's efforts to address the planning, staffing, training, programmatic, hardware, and software needs of the project; and
- work with AAA staff and sub-contractors to determine how PDS will be implemented within the AAA's planning and service area.

PDS SYSTEMS TECHNICAL SUPPORT COORDINATOR:

The plan will identify the single individual with computer-technical skills to serve as the PDS Systems Technical Support Coordinator. This may be the same individual as the PDS Project Manager. This individual will:

- work with the PDS Project Manager and provide training and technical assistance to all PDS end-users within the AAA's planning and service area regarding all aspects of PDS software implementation and systems development; and
- be the single point of contact for all software and hardware related technical issues, both to seek technical assistance on behalf of end users as well as to report any apparent problems with the software.

CURRENT SYSTEM/PROCESS WHERE PDS WILL BE IMPLEMENTED:

A description of the current system/process that is being considered for change through the implementation of PDS. The description will include how the agencies and locations where PDS will initially be implemented currently perform required functions.

OVERALL VISION FOR PDS IMPLEMENTATION:

A description of the overall vision for PDS implementation that will occur over the next 2-4 years. The description will include the agencies and locations where PDS will be implemented, which modules of PDS will be used in each, and the which staff will be involved. The plan will also include the long range goals and objectives that the AAA is striving to achieve through this program initiative.

SCOPE OF INITIAL PDS IMPLEMENTATION:

A description of the overall vision for initial PDS implementation in the first year that includes the agencies and locations where PDS will initially be implemented, which modules of PDS will be used in each, and which staff will be involved. The plan will also include the goals and objectives that the AAA is striving to achieve through this program initiative (e.g., automated client records to facilitate reporting).

WORKFLOW AND JOB RESPONSIBILITIES:

Specifically, how workflow and job responsibilities will be changed by the introduction of PDS, including how these changes fit in with the AAA's implementation of the Minimum Data Set (MDS).

AN IMPLEMENTATION TIME LINE:

Specifically listing project tasks, time frames and responsible staff.

LOCAL COMPUTER TECHNICAL SUPPORT:

The plan will describe how local technical support will be provided (e.g., to support its own computing environment, LAN, hardware and software, etc.) including that necessary to install and operate the PDS software and the computer(s) on which it will be used. The plan will also describe how local staff training and procurement of computer equipment will be accomplished.

RESOURCES NEEDED:

The plan should identify the various resources needed to implement the plan during the initial implementation period of the first year. This list might include computer hardware, software, or other related equipment needs - modems, printers, scanners, etc. In addition, the AAA should also identify any other resources that are needed to support the PDS implementation, e.g. additional staffing, staff training, etc.

USE OF THE SOFTWARE AND LIMITATIONS THEREOF

The AAA may use PDS at its facilities and those of its sub-contractors' in connection with the AAA's aging services activities in New York State.

The AAA may have the software installed on as many computers as necessary for it to carry out its aging services activities. This Agreement pertains to all copies of the software held by the AAA in any of its locations or locations of its subcontractors.

The AAA agrees to make the software available for use only by its employees and volunteers and those of its sub-contractors. The AAA shall not copy the software or related material except for archival purposes. The AAA is not authorized to sell, loan, rent, lease, distribute, assign, or otherwise transfer the software. The AAA agrees to take reasonable precautions to prevent other persons from obtaining the software without its knowledge.

Use of PDS by multiple users on a network requires the purchase and installation of the appropriate database engine (currently this is SQL Anywhere(TM)). If the AAA plans to have PDS used by multiple end users on a network, the AAA agrees to purchase and install, at its own expense, the appropriate version of the database engine.

INSTALLATION

The software will be installed at a mutually-agreed time via electronic communication, or if available by installing the software from a CD-ROM. Installation of the software shall not be undertaken by the AAA without explicit permission.

TRAINING

SOFA will make available to the AAA at least two days of PDS training for two individuals designated by the AAA. Arrangement of training dates and locations will be coordinated by SOFA and will accommodate to the extent possible the AAA's scheduling needs. The AAA agrees to avail itself of this training to the extent possible, and to bear any travel or other related cost.

MODIFICATION AND CUSTOMIZATION

PDS has been designed to meet the general needs of the Aging Services Network in New York State. On occasion additional features may be sought by the AAA. In such circumstances the AAA may request in writing or via electronic mail that the desired feature(s) be incorporated into a forthcoming version of PDS. Suggestions that have sufficiently broad value to multiple AAAs will be incorporated into a future version of PDS. The AAA may use ancillary products, such as report writers, to make further use of their PDS data. The AAA shall not make any modifications to PDS, nor engage any other party to make such modifications.

UPGRADES

Upgrades will be distributed periodically. After some period of time, older versions might not be supported. To provide financial support for continued maintenance and development it might become necessary to initiate subscription fees.

For use with multiple users on a network, PDS requires the use of the appropriate database engine. In conjunction with upgrades to PDS it might be necessary for the AAA to also upgrade its version of the database engine. The AAA agrees to make such upgrades at its own expense.

SIGNATURE

The AAA agrees to these provisions.

Name

Title

Address

City, State, Zip Code

Date

APPENDIX 12: PDS 4.0 BASIC TRAINING OUTLINE

WINDOWS 95 CONVENTIONS & NAVIGATIONAL AIDS

- Menu Bar
- Last 5 clients worked on in PDS
- Hot key to Case Notes toolbar icon
- Exit icon

I&R MODULE

- Search for Provider
- Referral Screen
- Benefit Screen

ASSESSMENT INFO.

- Consolidation of Assessment Info screen

CASE STATUS

- Identify multiple workers assigned to a client
- Displaying address information

EMPLOYEE MODULE

- Employee Security
- Password Information

PROVIDER MODULE

- Search for an Existing Provider
- Areas/Services Screen

CLIENT MODULE

Name/Address Screen:

- Adding / Searching / Deleting a Client
- Explanation of tool bar icons @ top & quick tips
- Explanation of Accessed Tab & Query/Modify tab
- Printing screens
- Explanation of Zip Code Feature
- Explanation of Required Fields

Assessment Screen

- ADL/IADL Tab/Screen
 - Preset list
 - Informal Support Info button
- Care Plan Tab/Screen
 - Adding a Service
 - Show Goals & Outcomes
 - Care Plan Reminders button

Case Notes Screen

- Explanation of tree structure
- Adding & Spell Checking a Case Note
- Adding an amendment to Case Note
- Searching for Case Notes

Contact Screen

- Add New Contacts
- Demonstration of Zip Code feature
- Display how Contacts are listed
- Displaying existing Contacts (By Emergency, By Name, By Classification)
- Contact Comment button
- Explain the link to other screens in PDS
- Relationship of Contact Function to ADL/IADL & Care Plan

Printing Forms & Reports

- Explain / Demonstration of Pre-defined Forms
- Printing Assessment Form (Blank & Complete)

CHECK-IN/CHECK-OUT

BAR CODING & ROUTING

- Demonstration of Bar Coding

CAARS MODULE

STATISTICS MODULE

- Types of Graphs
- Creating a Pie Chart

HELP MENU / SCREEN CAMS

- Adding an Annotation
- Demonstration of Screen CAM

**APPENDIX 13:
PDS IMPLEMENTATION STATUS REPORT**



New
York
State

GEORGE E. PATAKI, Governor

WALTER G. HOEFER, Director

Office for the Aging

Serving Older New Yorkers & Their Families

SITE MAP

SEARCH

FIND HELP

NEWS & EVENTS

EXPLORE AGING

HEALTH & WELLNESS

FAMILIES & CAREGIVERS

HEALTH INSURANCE Q&A

GUIDE TO SENIOR HOUSING

OUR CORPORATE PARTNERS

WWW RESOURCE LINKS

Welcome

Welcome to the New York State Office for the Aging's Homepage. The information on the following pages is designed for older New Yorkers and their families and those concerned about providing opportunities and services to enrich the lives of older people and support their independence.

We hope that you find the information presented here useful in enhancing and supporting your independence or that of a loved one.

New York State
Homepage

FEEDBACK

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New York State Office for the Aging Website

www.aging.state.ny.us