

## National Core Indicators – Aging and Disabilities Program Agreement and Scope of Work

This Memorandum of Agreement outlines the terms of participation for the National Core Indicators – Aging and Disabilities Program (NCI-AD Program) Technical Assistance (TA) and Survey Year beginning June 1, 2019 and ending May 31, 2021. The agreement outlines the roles and responsibilities of the managing entities, ADvancing States and \_\_\_\_\_ (the Participating State).

**Overview of Governance and Management of the Program:** The NCI-AD Program is governed by the NCI-AD Steering Committee, comprised of ADvancing States Board Members and ADvancing States Members committed to the NCI-AD Program. Program management and direction is provided by key staff from ADvancing States and the Human Services Research Institute (HSRI), ADvancing States’s partner in the NCI-AD project. ADvancing States and HSRI form the NCI-AD Project Team.

### **Technical Assistance (TA) Year:**

TA Year Period: June 1, 2019 – May 31, 2020

TA Year Participation Fee: \$25,000

The TA Year is designed to provide Participating States up to one year of preparation time to discuss program details, planning and implementation logistics before beginning data collection. The length of time states utilize varies based on the needs of the state, however, at least 6 months are recommended. The Participating State must complete its TA Year before moving on to the Survey Year.

### **NCI-AD Project Team Responsibilities:**

Success of the TA Year and subsequent Program Year is dependent on the active engagement of both the NCI-AD Project Team and the Participating State. The NCI-AD TA Year is a critical time for project planning and technical assistance. Prior to beginning data collection, ADvancing

States and HSRI will work with the Participating State to implement the NCI-AD Program in the following ways:

- Consulting with the Participating State on claiming Medicaid match and other federal funding;
- Assisting with stakeholder engagement and education at the state and local levels;
- Providing examples as needed, reviewing, and providing feedback on NCI-AD-related materials developed by the State, such as introductory letters, RFPs, informational brochures, etc.;
- Working with the Participating State to design a data sample based on the state's populations of interest and analysis goals;
- Advising on additional data collection protocols and strategies tailored to the State, as necessary;
- Preparing and providing surveyor training materials to the Participating State;
- Coordinating and attending an in-person surveyor training, including an in-depth review of the NCI-AD survey tool;
- Preparing the current NCI-AD Adult Consumer Survey instrument and documents for the Participating State's use;
- Preparing the Online Data Entry Survey Administration (ODESA) system and survey data codebooks for Participating State's use;
- Working with the State to ensure consistency of definitions regarding data elements; and
- Coordinating and participating in regular technical assistance calls with the Participating State to discuss NCI-AD Program planning, implementation, and progress.

### **Participating State Responsibilities:**

During the TA Year, the Participating State is responsible for the following:

- Securing funding for the TA Year and first Survey Year of the NCI-AD Program;
- Designating project lead state staff;
- Informing stakeholders at state and local levels about the State's participation in the NCI-AD Program;
- Working with the NCI-AD Project Team to identify publicly funded long-term services and supports programs the State would like to include in the sample. Selected programs should serve primarily aging and adult physical disabilities populations;

- Sharing relevant program and population information with the NCI-AD Project Team necessary for designing an appropriate sampling strategy;
- Planning the State’s process of compiling and transmitting contact information and data elements required to be derived from existing administrative records;
- Working with the NCI-AD Project Team to ensure consistency of definitions regarding data elements;
- Determining the State’s consent process for individuals participating in the NCI-AD survey, unmet needs processes, and mandatory reporting procedures and presenting/discussing with surveyors during training;
- Formulating a process for communicating with potential participants as needed about NCI-AD and addressing questions from individuals about participating in the NCI-AD survey;
- Working with the NCI-AD Project Team to schedule and plan for the in-person surveyor training to be conducted by the Project Team, including securing a venue and distributing training materials to the surveyors;
- Developing and providing state-specific training components and corresponding materials as needed;
- Communicating with surveyors about the training and ensuring, to the extent possible, surveyor attendance;
- Completing and returning NCI-AD documents, provided by the Project Team, detailing the State’s implementation process (e.g. Project Abstract, BI Crosswalk); and
- Participating in regular technical assistance calls with the NCI-AD Project Team to discuss NCI-AD Program planning, implementation, and progress.

**NCI-AD Program Survey Year:**

Program Year Period: June 1, 2020 – May 31, 2021

Program Year Participation Fee: \$25,000

During the NCI-AD Program Survey Year, the Participating State will work to implement NCI-AD in their state. Activities include designing and compiling a survey sample, compiling pre-survey and Background Information data, conducting in-person interviews, submitting project-compliant data to the NCI-AD Project Team, and reviewing draft reports for accuracy. The NCI-AD Project Team will provide technical assistance to the Participating State on all steps of program implementation. In addition, the NCI-AD Project Team provides management, analysis, and reporting of the Participating State’s NCI-AD data. Provided analyses and reporting consist

of a state-specific report and a national state-by-state comparison of all Participating States' data.

**NCI-AD Project Team Responsibilities:**

During the NCI-AD Program Survey Year, the NCI-AD Project Team will provide the following to the Participating State:

Project Direction and Management: The NCI-AD Project Team provides general oversight and management of NCI-AD activities. The Project Team will consult and collaborate with Participating State agency partners on project operations, content focus, data and product development, research, and other related activities. Project management activities include:

- Reviewing and updating the NCI-AD Adult Consumer Survey, as needed, and providing the current survey instrument to the Participating State;
- Developing project guidelines as needed for the Participating State;
- Providing materials, protocols and oversight for any interviewer training needed;
- Training lead trainers as identified by the state and/or the state's designated surveying entity (if needed);
- Preparing the Online Data Entry Survey Administration (ODESA) system and codebooks for survey data;
- Conducting periodic check-ins with the Participating State on status of data collection;
- Developing and monitoring project timelines, goals, and outcomes;
- Furnishing project data files to the Participating State as available and requested;
- Maintaining a data warehouse for all project data;
- Developing report templates for the Participating State's review and use;
- Developing and disseminating analytical and interpretative guidelines; and
- Maintaining the public-facing NCI-AD website ([www.NCI-AD.org](http://www.NCI-AD.org)).

Data Analysis, Management, and Reporting: The NCI-AD Project Team prepares and distributes draft and final NCI-AD reports, as appropriate. The Project Team may also work with Participating State staff to examine implications, consider use of state data, and collaborate on state and national publications and research opportunities. Specific activities include:

- Tracking and reviewing the State's raw data for completeness and validity;
- Cleaning, formatting and recoding states' raw data to ensure consistency and prepare for analysis;
- Merging individual state data files into aggregate files;

- Conducting descriptive and inferential analyses;
- Conducting state-by-state and national average comparisons;
- Testing for significant differences, when appropriate;
- Generating tables and charts containing results of state-specific and national analyses;
- Developing and distributing draft reports to states for comment and incorporating feedback; and
- Finalizing and publishing state-specific and national reports on the NCI-AD website.

The Participating State may request additional analyses of its NCI-AD data to provide more detailed or focused information on system outcomes and performance, sub-state comparisons, correlations between select variables, etc. The scope, timeline, format and cost, if any, of such additional analyses and reports will be determined on a case-by-case basis (see “Other Support”).

#### **Participating State Responsibilities:**

Project Planning and Survey Implementation: The Participating State will implement the NCI-AD project and conduct a pre-determined number of in-person surveys following the Project Team’s guidelines and adhering to the required protocols. The minimum number of completed NCI-AD surveys required in each Participating State is 400 (unless an exception has been discussed with and approved by the Project Team). There is no maximum number of completed surveys. State responsibilities include:

- Internal project planning, to be carried out in consultation with the Project Team;
- Participating in technical assistance calls with the NCI-AD Project Team to discuss program planning, implementation, and progress;
- Completing and returning NCI-AD documents, provided by the Project Team, detailing the State’s implementation process (e.g. Project Abstract, BI Crosswalk);
- Informing the NCI-AD Project Team of any changes in contact information as well as any updates or revisions to the state’s work plans, timelines, or data collection processes;
- Designating lead trainers (whether state staff, third party/vendor staff, or both) to conduct training for all interviewers
- Ensuring lead trainers, before training any interviewers, have been appropriately trained using standardized training materials and protocols developed and provided by the NCI-AD Project Team;

- Ensuring all interviewers conducting NCI-AD surveys have been appropriately trained using standardized training materials and protocols developed and provided by the NCI-AD Project Team;
- Developing and providing state-specific training components and corresponding materials as needed;
- Creating a sample list compiled in accordance with the State’s pre-determined sampling strategy and NCI-AD’s sampling protocols (e.g. eligibility criteria, no other a-priori exclusions, randomness);
- Collecting specified Background Information data on each individual interviewed;
- Obtaining consent from individuals participating in the survey;
- Working with aging and disability stakeholder groups to inform, educate and prepare them for the rollout of NCI-AD in their state;
- Designating a point of contact or process for addressing questions from individuals about participating in the NCI-AD survey; and
- Conducting in-person interviews in accordance with the State’s pre-determined sampling strategy

Submitting NCI-AD Compliant Data: The Participating State must submit all of its data in NCI-AD-compliant format. Format compliance is ensured by entering all data into ODESA.

Participating State responsibilities include:

- Submitting all collected in-person survey and BI data to the Project Team in NCI-AD-compliant format.
- Using standard data entry procedures and instructions provided by the Project Team to enter and submit all data into ODESA. Any exemptions from using ODESA must be previously discussed with and approved by the Project Team. If such an exemption is approved, the State is still responsible for providing data in a format matching NCI-AD standard data templates and conventions. The Project Team is unable to accept non-compliant data.
- Entering all survey data into ODESA (unless an exemption was approved) no later than May 31, 2020. A deadline extension may be granted by the Project Team in exceptional circumstances.
- Ensuring all applicable BI section items are completed for each participant surveyed and the best information available is entered and submitted to the Project Team.

Reporting, Analysis, and Research: The Participating State must review and assist the Project Team with finalizing its state-specific and national NCI-AD report. In addition, the State may be asked to provide input on project-related research and analysis. State responsibilities include:

- Working with the NCI-AD Project Team to review its submitted data and, if needed, correct any issues identified;
- Reviewing draft reports for accuracy and providing comments and feedback to the Project Team within 30 days of receiving the draft report;
- Consenting to have the State’s aggregate-level data become publicly available via published reports on the NCI-AD website and be able to utilize summary findings in project presentations;
- Disseminating its final state-specific NCI-AD report to stakeholders within the state; and
- Providing input on miscellaneous research activities and research requests that would involve analysis of the State’s individual-level data, as needed.

NCI-AD Program Materials and Data Publication: The Participating State agrees all proprietary NCI-AD materials, including the copyrighted NCI-AD Adult Consumer Survey, project manuals, newsletters, bulletins, publications, training materials, etc. provided to the State should only be used by the Participating State according to the terms of this Agreement.

Unless otherwise requested by the Participating State and as mutually agreed to by all parties, the Participating State agrees ADvancing States and HSRI may use the data collected in connection with the NCI-AD Project for public reporting, including publishing reports with aggregate data on NCI-AD’s website, and for research that may result in presentations, topical data briefs and peer-reviewed articles also containing aggregate data. The Participating State also agrees that ADvancing States and HSRI may occasionally grant access to de-identified NCI-AD data to other researchers who request it for the purposes of academic research. All such requests, along with the study plans and research goals, will be recorded and evaluated by the Project Team. The NCI-AD Project Team will provide the necessary data support to all approved studies and any data provided will be multi-state and stripped of state identifiers. As a condition of access, researchers will not be able to conduct state-level analyses and/or will agree not to identify individual states by name in any published work. No requests that deviate from the full de-identification condition (e.g. a request to include a state identifier) will be granted without the Participating State’s explicit permission.

**Other Support:**

The Participating State may request additional reports and/or analyses of its NCI-AD data. The NCI-AD Project Team will use good faith efforts to accommodate the Participating State's request, provided the additional services do not interfere with or delay completion of the regular project tasks described in this Agreement. Additional charges may apply based on the timelines and scope of work involved and will be estimated by the Project Team upon receiving the State's request.

The parties agree to participate in the NCI-AD Program as described by this Agreement and Scope of Work.

**Participating State:**

**Authorized Official (Name and Title):**

**Signature:**

**Date:**

**Agreed:** ADvancing States

**Authorized Official (Name and Title):** Martha A. Roherty, Executive Director, ADvancing States

**Signature:**

**Date:** June 1, 2019

