



Human Services
Research Institute

Supporting Individual Success

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Today's Topics

1. The Big Picture

- What are we trying to do?

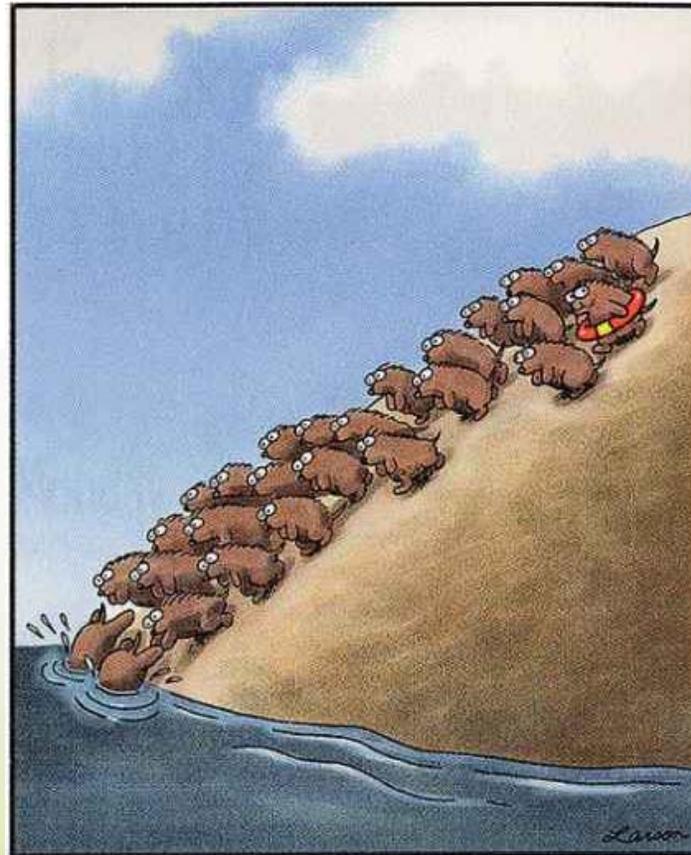
2. Developing efficient & equitable resource allocation models

- Status of RA Development in North America
- The strategic planning process
- Implementation experiences
- Maine SIS results
- Maine SIS Levels

3. Your questions?



States Facing Financial Crisis



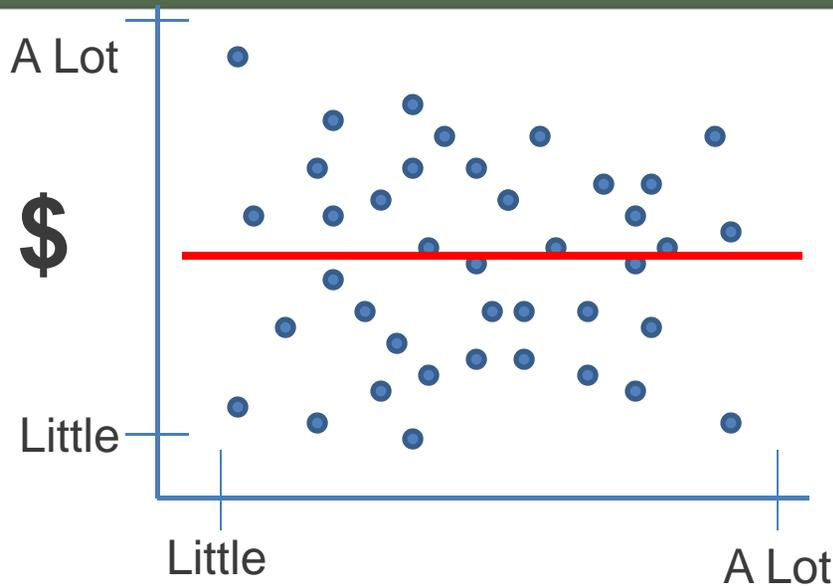
1. The Big Picture

What are we trying to do?



We are trying to establish a way to allocate resources so that people get what they need, no more and no less.

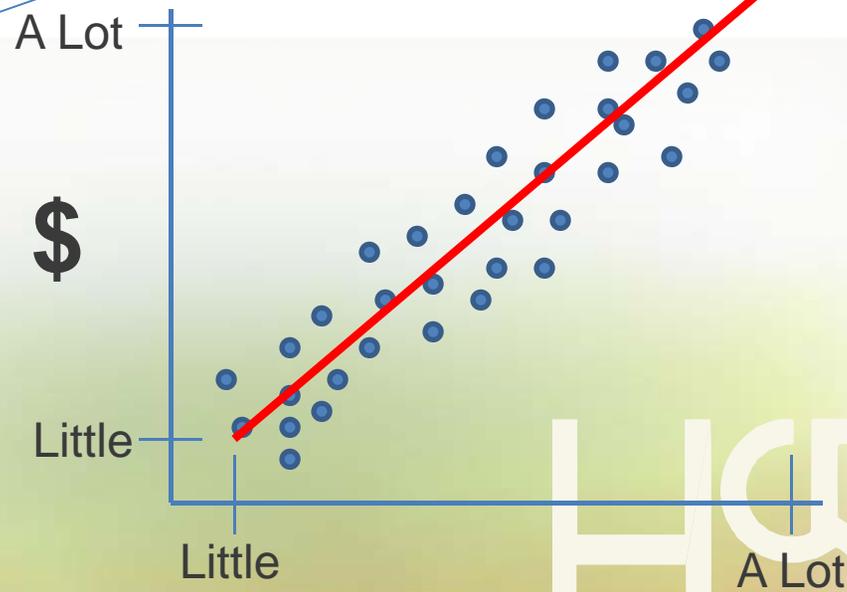
- This means that people with the least needs are allocated the least amount. Those with greater needs get more.
- To develop a system like this, we need good information on the people served and their need for support, an understanding of what different services cost, and a good way to track spending.
- This requires policy makers to settle on the types of services that should be offered, what they are willing to pay for these services, and what outcomes are expected.



We want to move
from a low
correlation like
THIS...

Support Needed

...to a high
correlation
like **THIS**

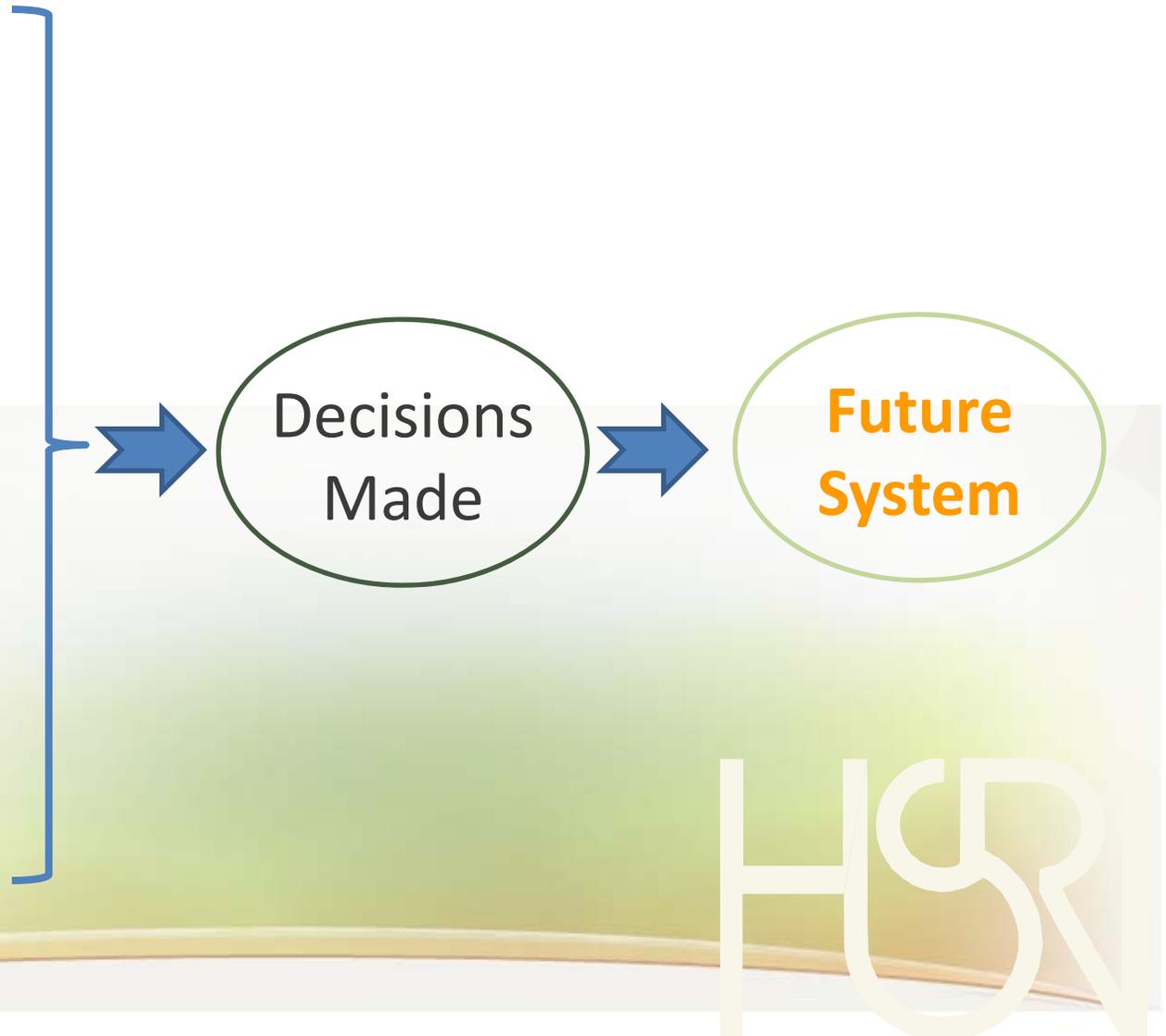


Support Needed



Challenges Faced By Policy Makers

- Budget stress
- Accelerating service demand
- Reliance on legacy and inefficient systems
- Workforce shortages
- Continued push for community integration, participation, contribution... self direction.



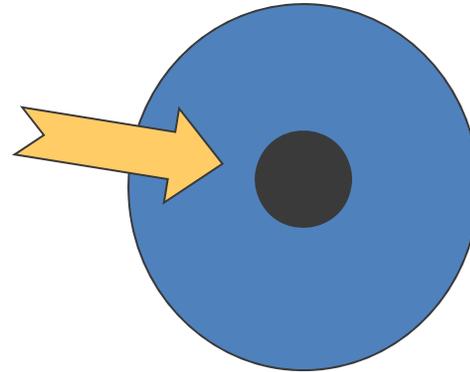


Demand Is Going Up!

- Demand for publicly-funded developmental disabilities services is growing nationwide.
- It is increasing at a rate greater than population growth alone.
- This increase in service demand is driven by:
 - People living longer
 - Surviving trauma
 - Aging baby boomers
- Turnover among individuals receiving services is reduced so that there is less capacity to absorb new demand
- There is a growing number of individuals who live in households with primary caregivers who are themselves aging.

What To Do?

We can't stay on
this spot



We need to rethink what we do
– affirm our values but
resolutely search for “value”



SIS and Resource Allocation

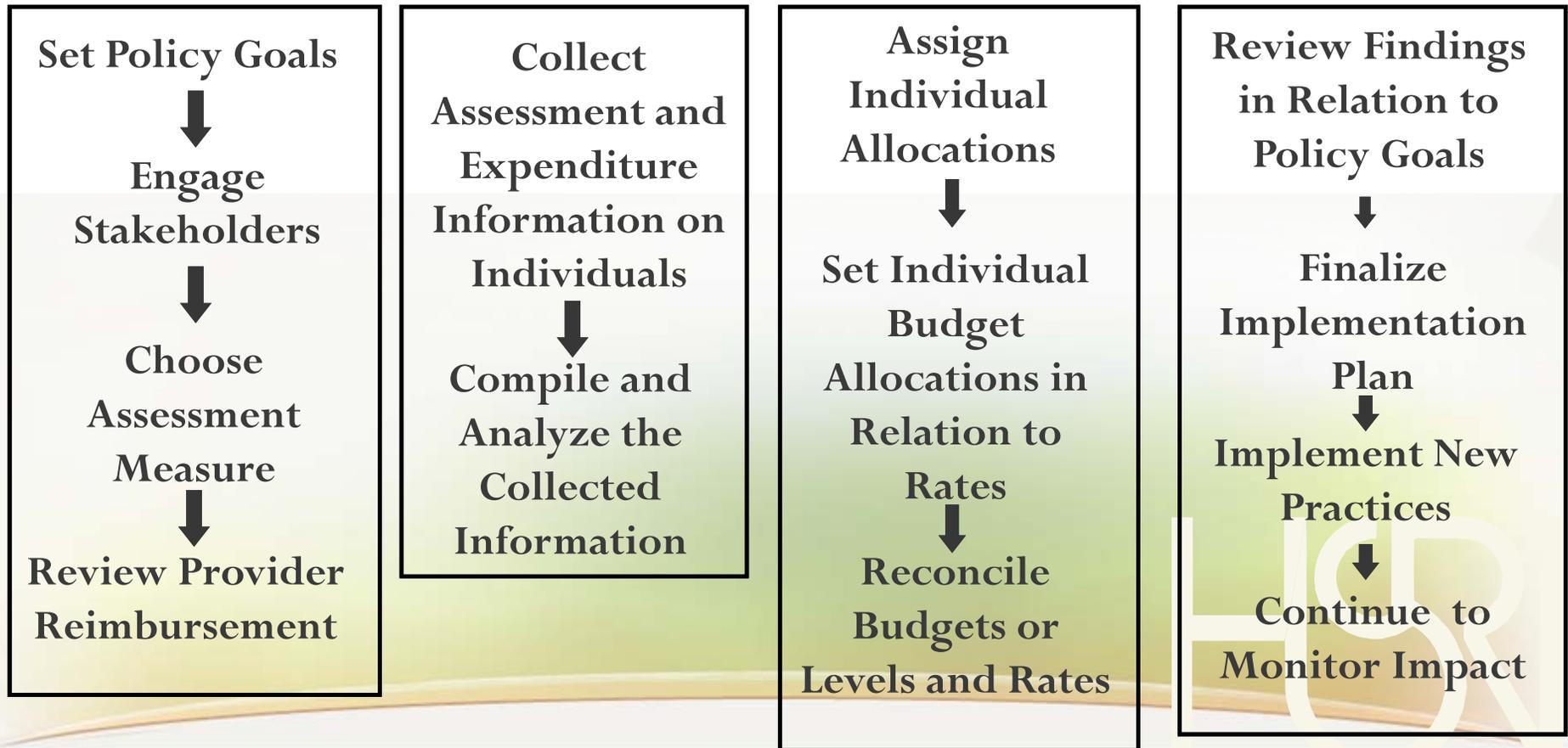
- Resource Allocation is a way that policy makers can make disciplined fiscal choices that are fair, make the best use of available money, but also are consistent with driving system principles.
- Resources are allocated to people based on their assessed level of need, so that each person receives what they need -- no more and no less.
- The resulting model is a “best fit” solution so care must also be taken to accommodate individuals with extraordinary needs.



Overview of the Strategic Planning Process



Plan for Implementation



Prepare

Potential Policy Goals

- Fairness, equitability, explicability
- Increase efficiency to address increasing demand
- Matching resources and individual needs
- Ability to handle exceptional care
- In a time of limited resources - focus on those with greatest need
- Inject self-directed approaches



What supports do people need?

- ◆ What is the service array that individuals need and prefer?
- ◆ What is being paid for services and supports?
- ◆ What outcomes for people are sought?
- ◆ What are the desired social roles and responsibilities?
- ◆ Is the current overarching service model appropriate?

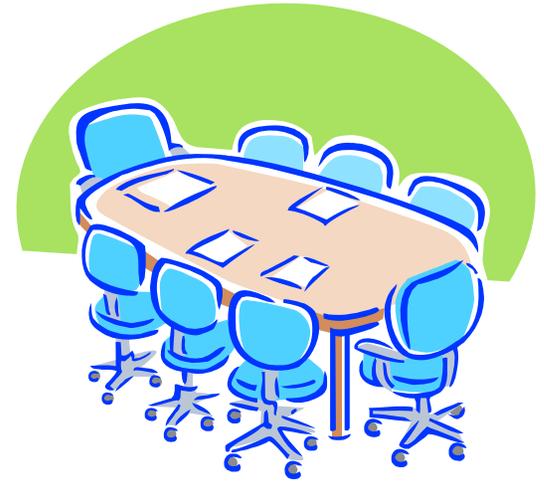


Stakeholder Involvement

A stakeholder group should be formed:

- To help advise the process
- To assure that people know what the process is finding and what decisions are being made.

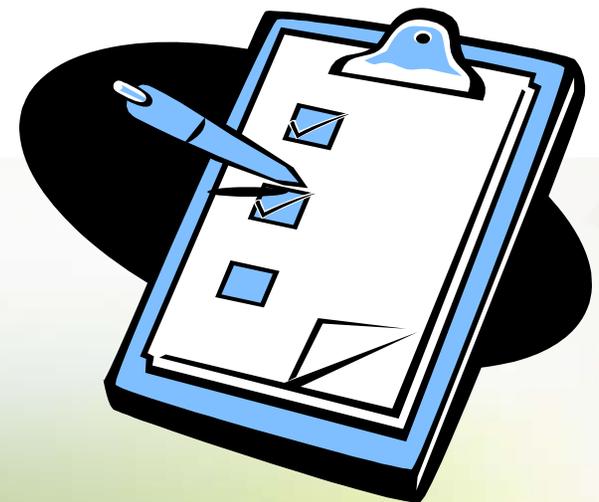
The stakeholder group should meet regularly and be composed of self-advocates, parents, providers, and others.



Prepare

Choose an Assessment Tool

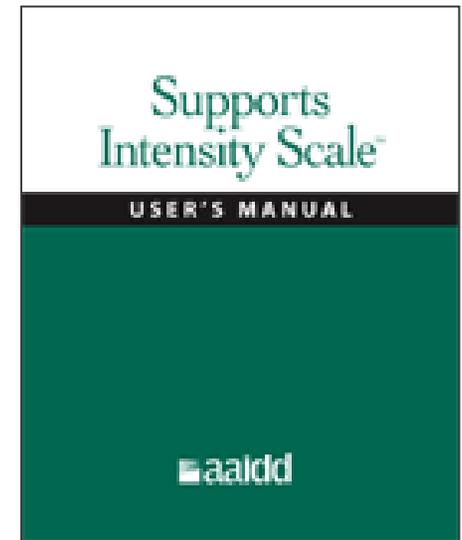
- Assessment tools provide information about support needs
- States use various tools to tie funding to support needs
- Each tool has its pros and cons



The Supports Intensity Scale (SIS) and how it is being used

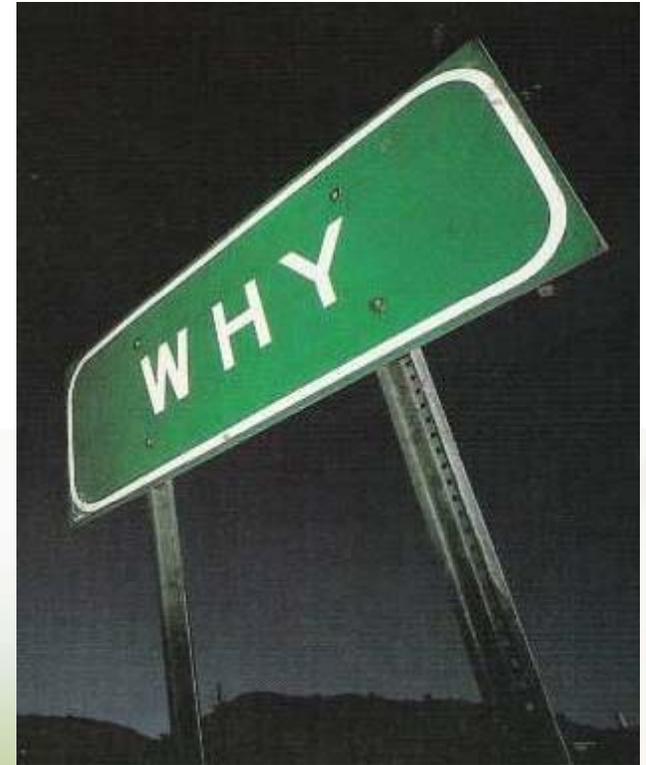
What is the SIS?

- Developed and released by AAIDD in 2004
- Originally designed to support person-centered planning and system change
- Only adult version available – child version is under development for release in 2014
- Currently 29 states, 4 provinces, 13 languages, and 19 countries using SIS
- Perceived as strength-based
- Must be purchased/licensed from AAIDD



Why do states pick the Supports Intensity Scale?

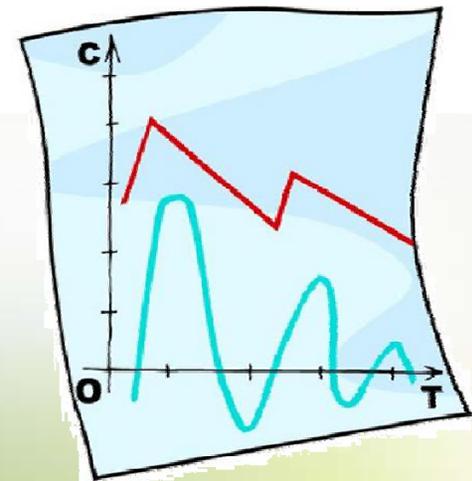
- National norms – buying the bell shaped curve
- Writing waiver service plans with individuals, families, and providers
- Captures support needs hence some of the natural supports used by individuals
- Considers both behavioral and medical challenges
- Has potential for helping to shape waiver individual budgets and/or reimbursement levels



Prepare

A Good Database Is Invaluable

- Information about people served and service use is needed
- Do you know the number of people served, where they are, their services, rate schedules, related expenditures in relationship to their support needs?



Collect Information

Focus on Collecting Information

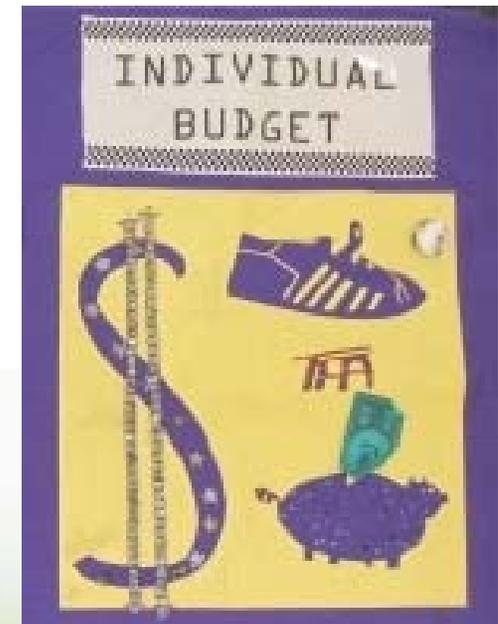
- Information regarding the support needs of individuals is at the core of any resource allocation effort.
 - Valid
 - Reliable
- Just as important is information on expenditures per person (or service hours per person).



Defining *Individual Budget Allocations*

Given that the field is moving toward individualized budgets, it is essential for policy makers to be precise in what is meant by an “individual budget allocation” (IBA).

- Dollar amount tied to needs, total budget
- Individual decides how to use the full amount
- New budget is *prospective rather than retrospective*



Focus on Service Array and Rate Schedules

- In home supports and related infrastructure
- Residential supports, including 24/7 residences and supported living
- Day time supports, including “employment first” supports, day centers, community-based non-work
- Specialized supports, including those to address complex or unique needs
- Other needed services

RATES

- Fair
- Ample
- Consistent with policy goals



Use of the SIS in North America

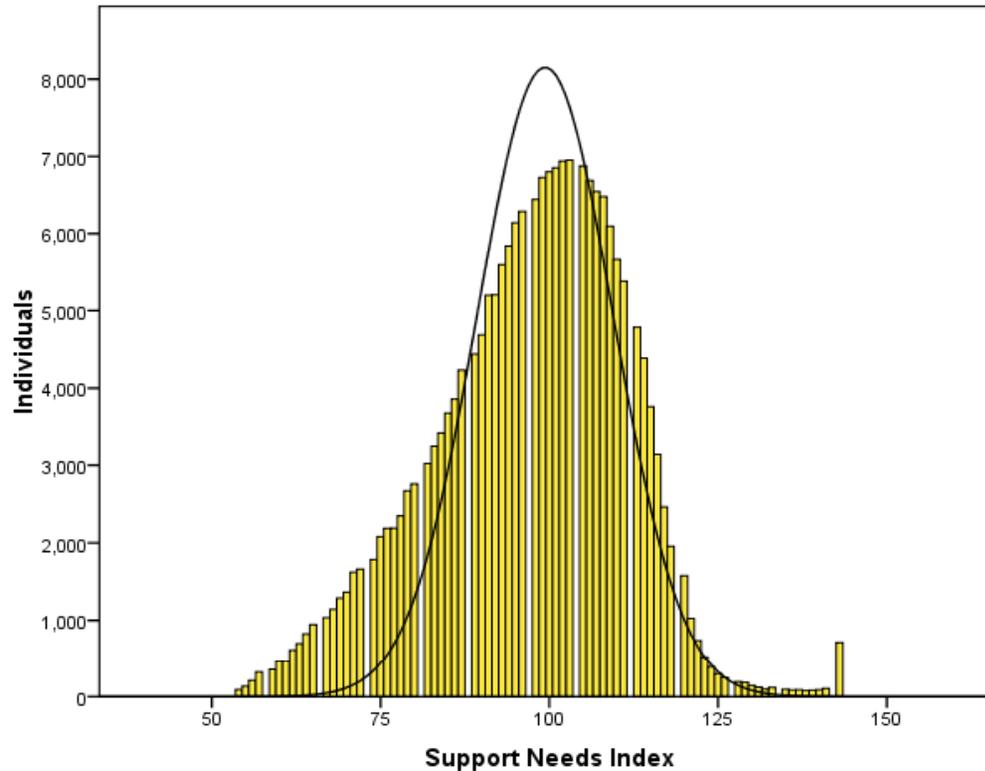
The Supports Intensity Scale (SIS), along with other supplemental questions, are being used (or soon will be) in at least 29 states and 4 Canadian provinces to develop support plans and/or set individualized budgets.

Arizona	Massachusetts	Oregon
California	Michigan	Pennsylvania
Colorado	Missouri	Rhode Island
Georgia	Nebraska	South Dakota
Hawaii	Nevada	South Carolina
Indiana	New Hampshire	Tennessee
Iowa	New Jersey	Utah
Kentucky	New Mexico	Virginia
Louisiana	North Carolina	Washington
Maine	North Dakota	Wyoming
Maryland	Oklahoma	

- Alberta**
- British Columbia
- Manitoba
- Ontario**

-  Using the SIS for resource allocation
-  Working on or considering using the SIS for resource allocation
-  Using the SIS for support planning or in use locally or in early stages of considering applications





AAIDD SIS-Online Results
in 2013 for the last 3 years
with 206,015 individuals
from 28 jurisdictions



	Individuals	Min	Max	Average	Standard Deviation
Support Needs Index	206,015	54	143	97.13	14.31
Sum ABE	206,015	8	52	27.89	7.06
Medical Total 3A	206,015	0	32	2.08	3.24
Behavioral Total 3B	206,015	0	26	3.51	4.05

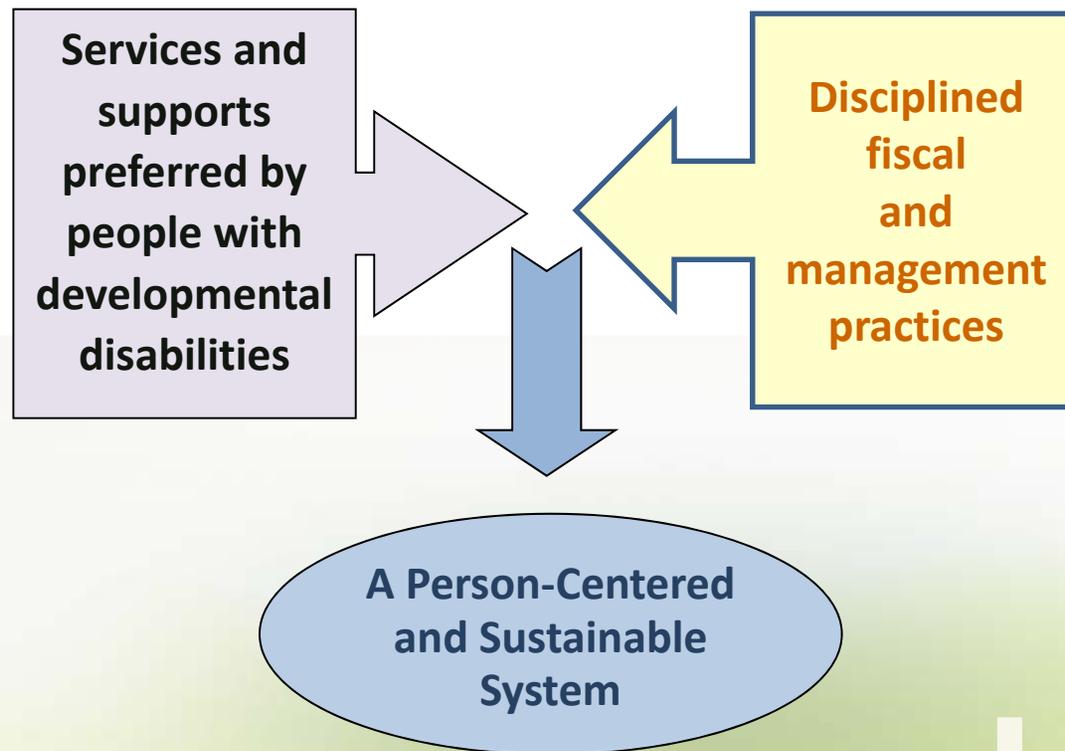


	Number of Individuals	SIS Supports Need Index	Sum of Part A, B, and E	Total Medical Need Score	Total Behavioral Need Score
SIS Norm	1,306	100.00	30.00	3.23	4.99
Oregon	5,119	106.33	31.62	1.99	5.06
New Mexico	3,218	106.31	31.75	3.13	4.82
Utah	4,114	102.15	30.09	2.22	4.09
Rhode Island	3,047	101.76	29.73	2.03	4.19
Virginia	8,443	100.75	30.01	2.93	3.69
Kentucky	3,476	99.76	28.93	1.92	4.28
Georgia	10,574	99.40	28.62	1.39	2.69
Maine	1,233	98.57	28.26	1.96	4.65
Louisiana	4,091	98.23	29.95	3.33	3.10
Colorado	6,849	97.49	27.91	2.99	5.55
Michigan*	1,007	97.24	27.91	2.28	3.29
New Hampshire	2,200	96.16	26.68	2.49	4.06

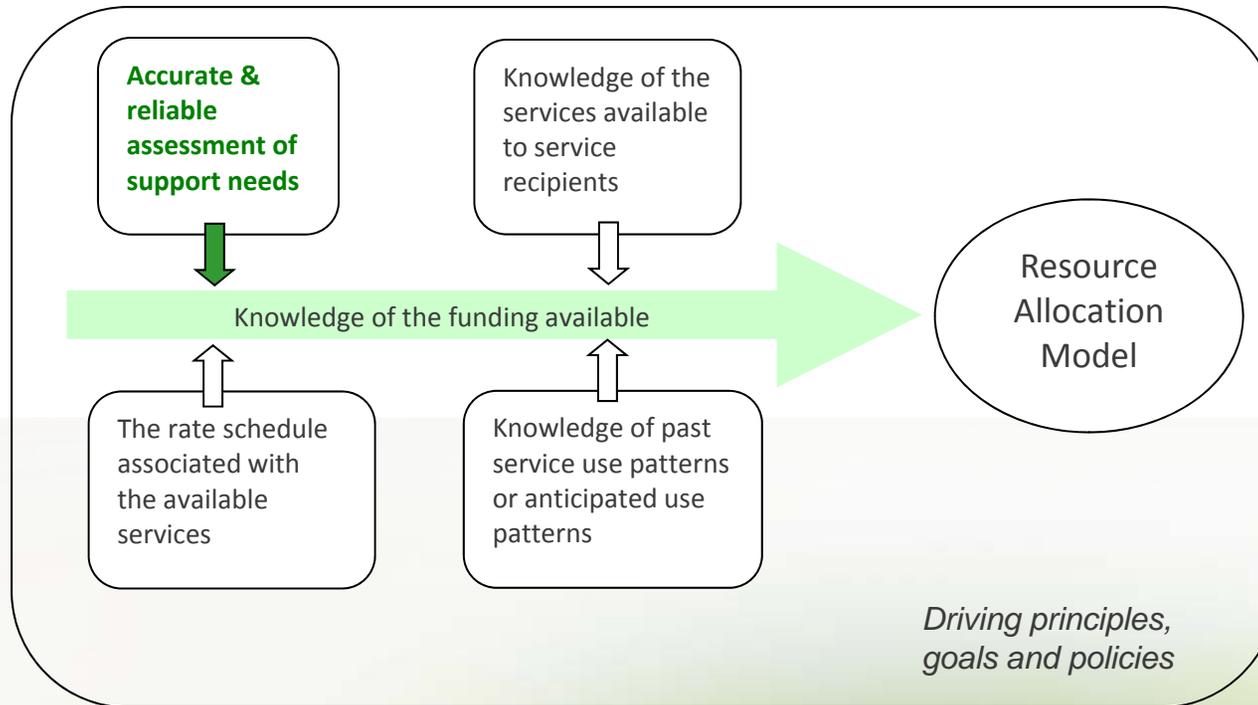
* This represents one fourth of Michigan, not the full state.



Blending Together Principles Related to Service Delivery and System Management

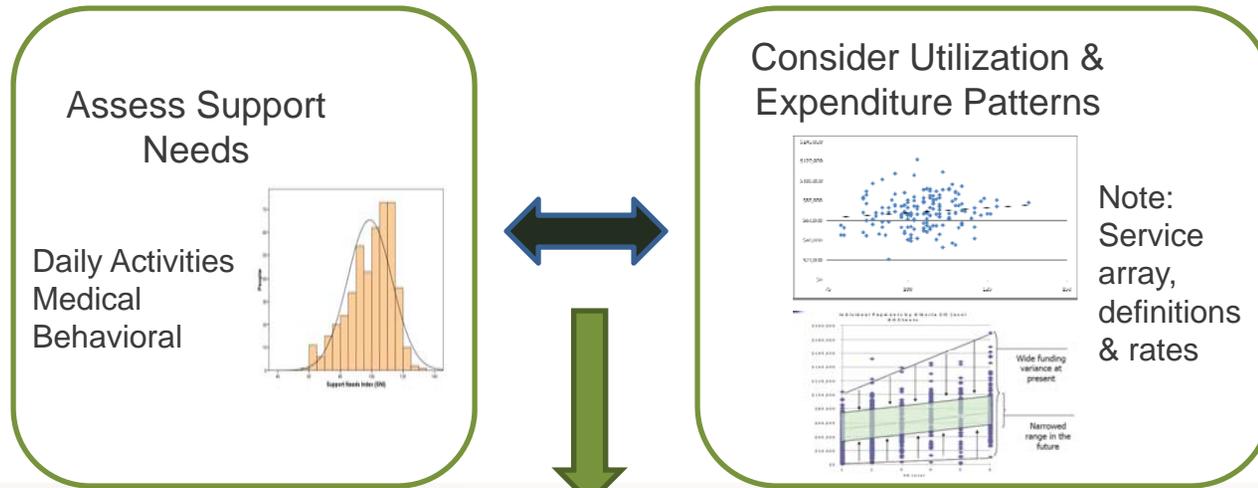


Elements Working Together to Build a Model



The SIS works with other elements to create a resource allocation model. The result can transform systems.

System Level Goals and Expectations for Individuals & Families



Develop Supports Needs Framework & Individualized Allocations

Establish infrastructure for implementation

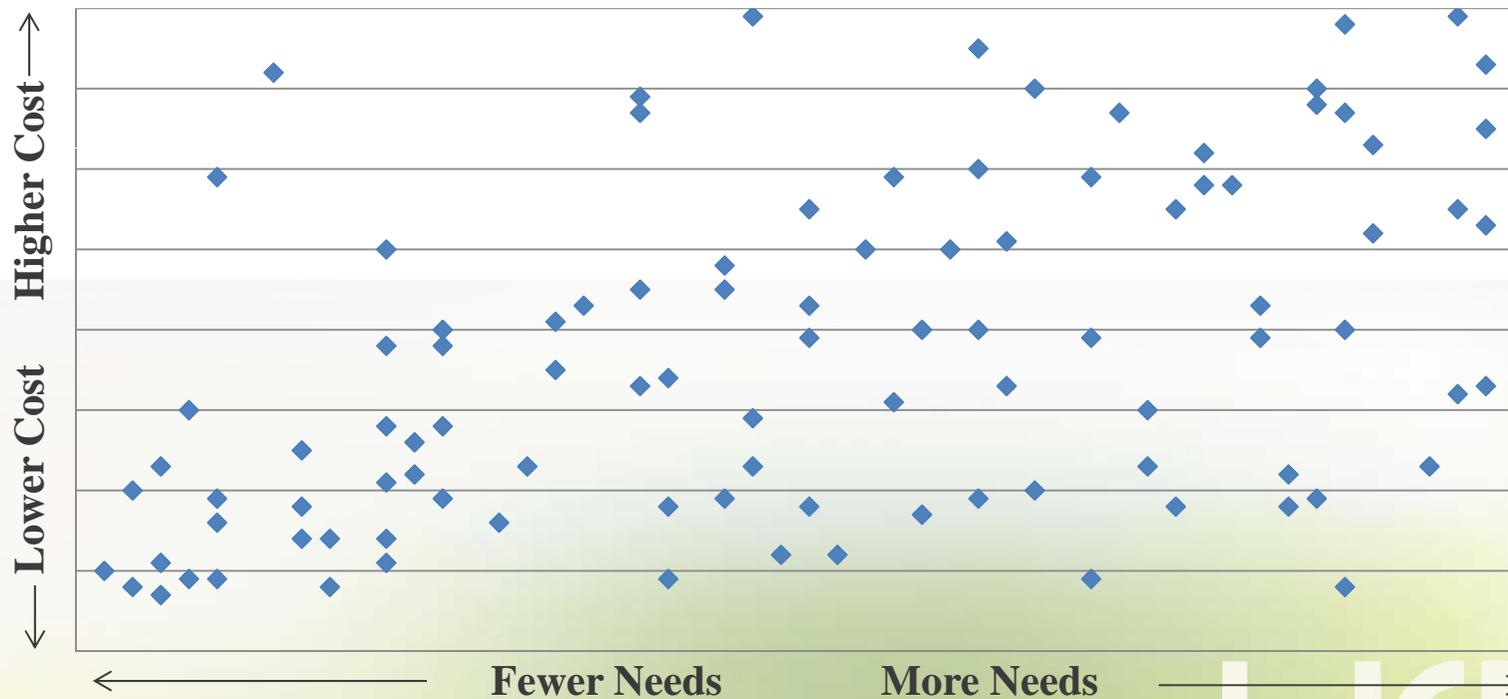
Roll Out

A Quick View of How the SIS Is Used to Allocate Resources



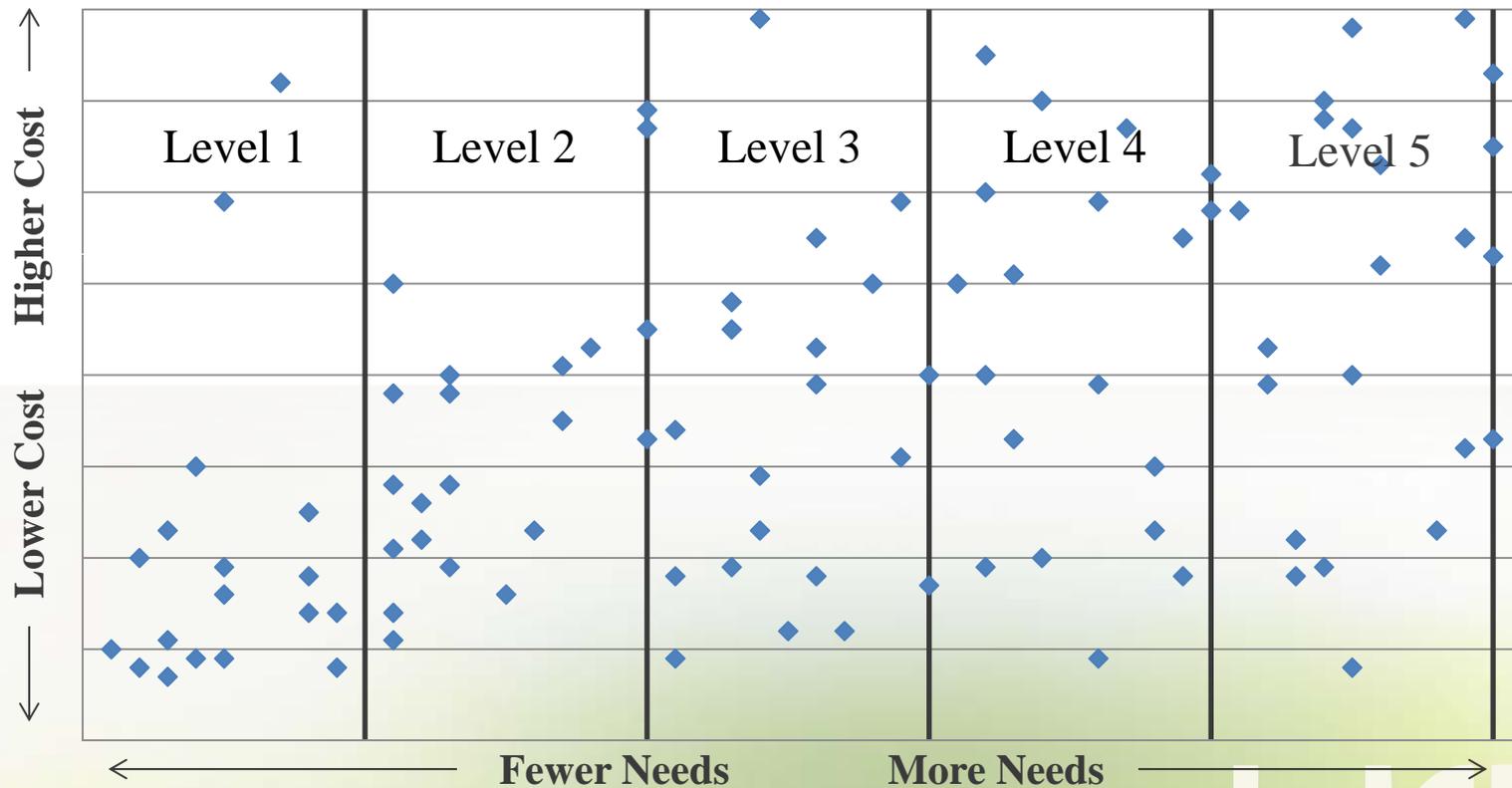
An overall view - 1 ... What we Typically See

Only a modest relationship between needs and supports with significant variability among individuals with similar needs (each diamond represents an individual)



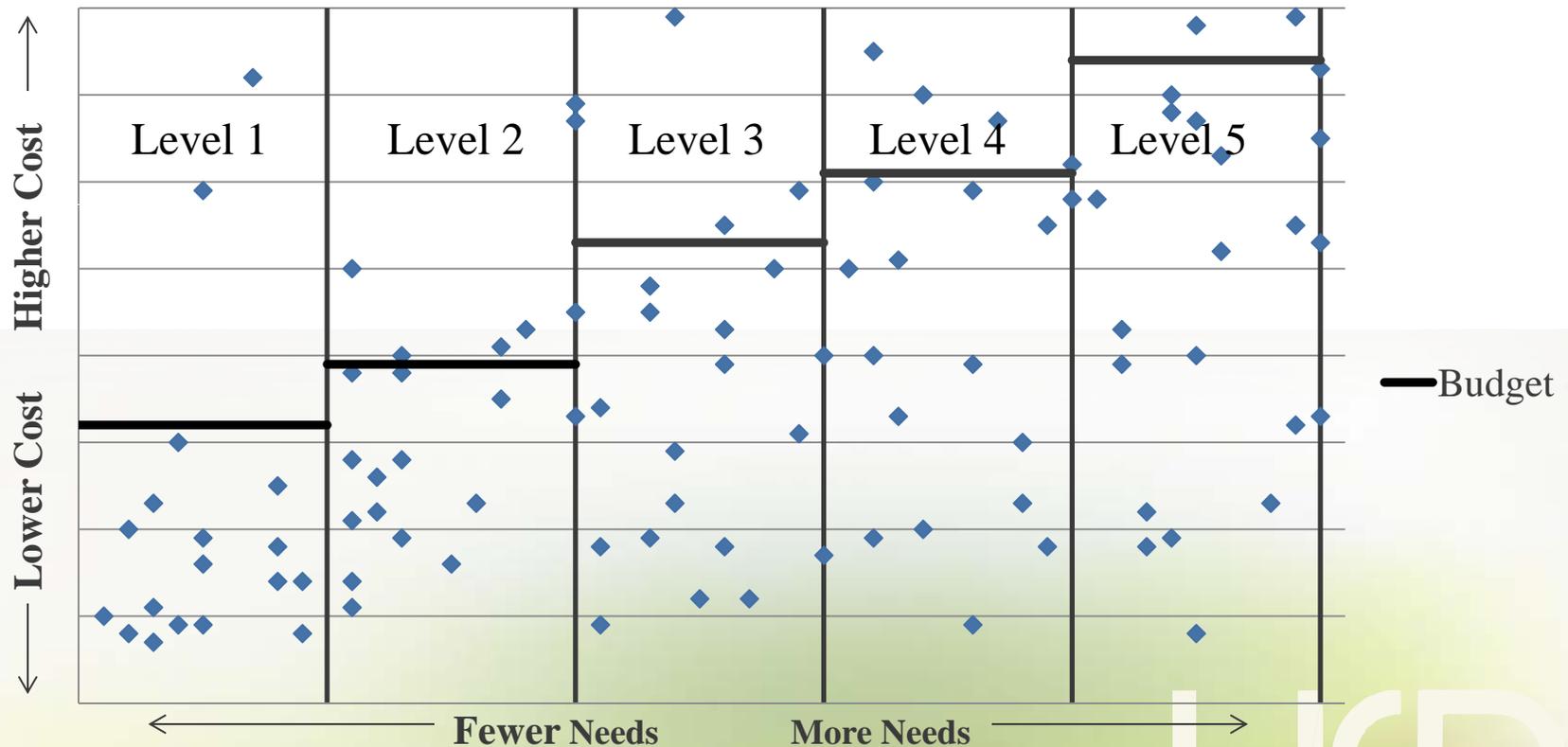
An overall view - 2 ... Tying Supports to Needs

First, levels are established to group individuals with similar needs



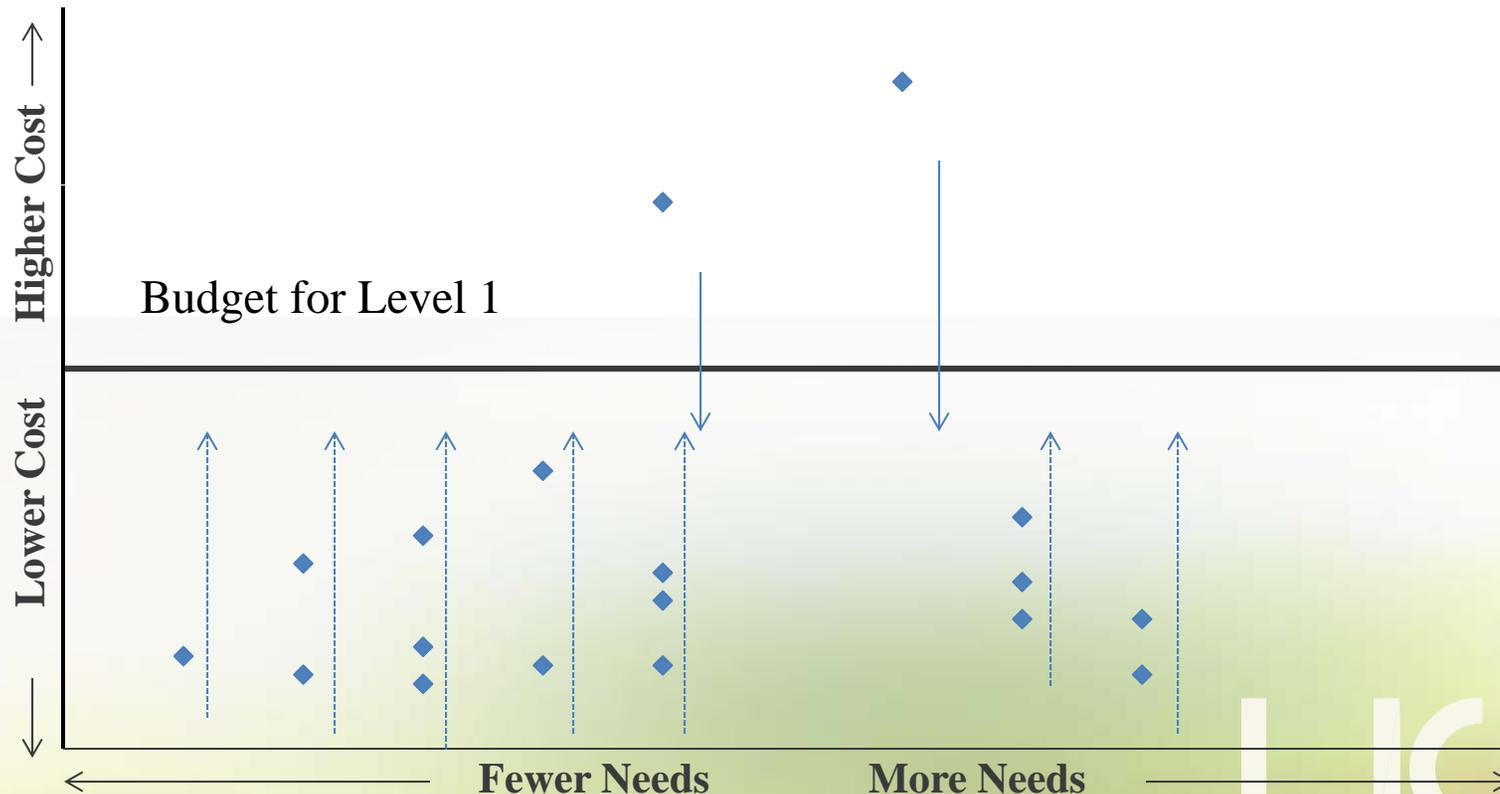
An overall view - 3 ... Tying Supports to Needs

Then, a budget is established for each level based on utilization data and State policy decisions



An overall view - 4 ... Tying Supports to Needs

Those above the budget for their Level are reduced (and may be stepped down over time); those below may or may not increase based on their decisions



Focus on Building a Framework for Service Needs

- ◆ Nearly all states choose to establish assessment levels to group individuals from fewest to most needs.
- ◆ Later, individualized budgets are allocated to people assigned to the various levels.
- ◆ One way to do it:



Maine Individuals by Five Support Levels

Levels	Number of Individuals	Percent of Individuals
One	265	21.5%
Two	359	29.1%
Three	236	19.1%
Four	165	13.4%
Five	208	16.9%
Total	1,233	100.0%

Average Section 21 Expenditures by Support Level

Levels	Number of Individuals	Average Amount Spent	Standard Deviation
One	265	\$67,556	\$43,624
Two	359	\$92,847	\$43,901
Three	236	\$110,713	\$44,229
Four	165	\$111,604	\$43,498
Five	208	\$136,710	\$55,469
Total	1,233	\$100,740	\$51,168

Average Expenditure by Waiver Service Strata and Support Level

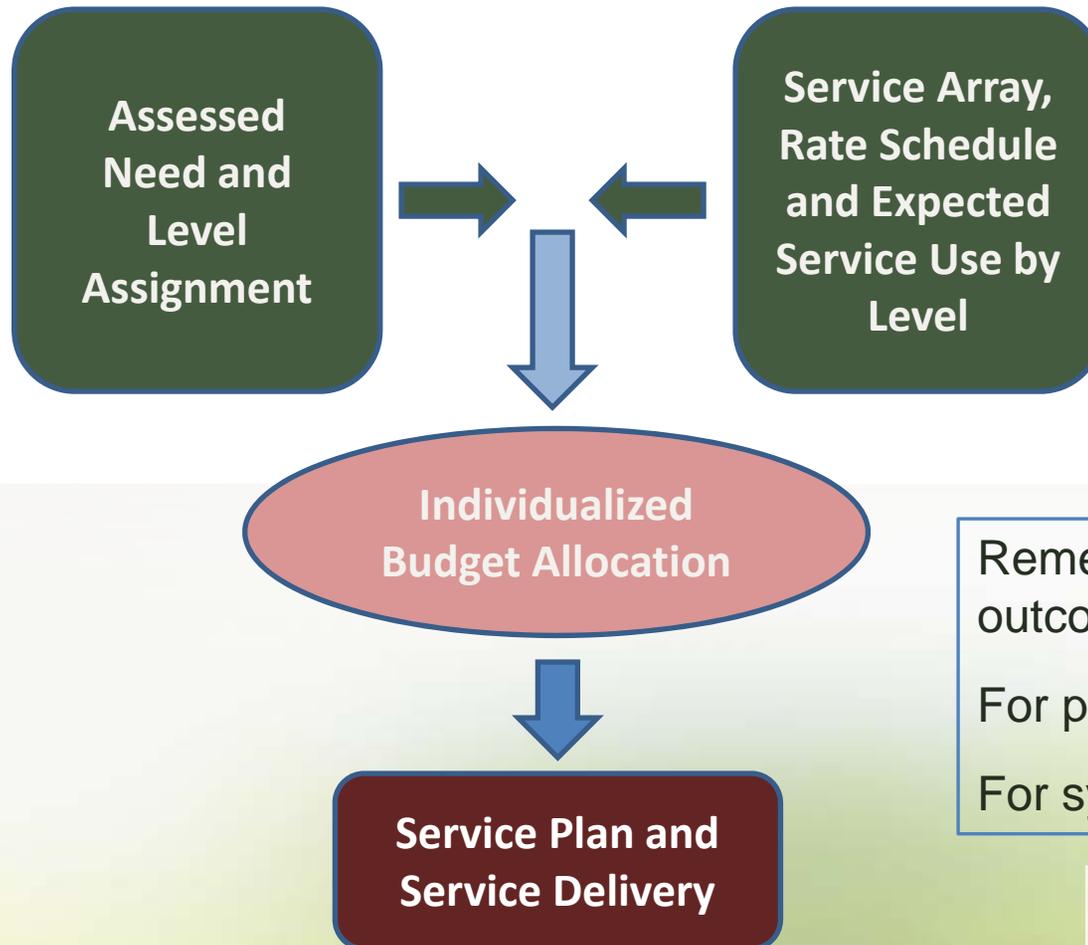
Levels	Home Support		Home Support – Shared Living		Home Support – Family Centered	
	Number of Individuals	Average Amount Spent	Number of Individuals	Average Amount Spent	Number of Individuals	Average Amount Spent
One	80	\$32,350	76	\$62,922	7	\$50,737
Two	24	\$43,814	70	\$64,745	37	\$49,772
Three	13	\$83,260	34	\$68,120	13	\$55,394
Four	11	\$81,638	24	\$64,934	13	\$62,996
Five	3	\$133,048	14	\$63,279	14	\$66,847
Total	131	\$45,947	218	\$64,563	84	\$55,615



Average Expenditure by Waiver Service Strata and Support Level

Levels	Agency Home Support		Other/Employment Only	
	Number of Individuals	Average Amount Spent	Number of Individuals	Average Amount Spent
One	87	\$114,438	15	\$14,741
Two	219	\$117,096	7	\$20,372
Three	170	\$128,426	4	\$20,246
Four	114	\$132,097	2	\$12,069
Five	177	\$148,106	0	.
Total	767	\$128,692	28	\$16,744

Putting it all together...



Remember... What outcomes are sought?
For people?
For systems?



Your Questions

The tipping point is that magic moment when an idea, trend, or social behavior crosses a threshold, tips, and spreads like wildfire.”

Malcolm Gladwell