DESIGNING THE PARTICIPANT DIRECTED SERVICES SELF-ASSESSMENT: FROM CHECKLIST TO POWER TOOL

HOME AND COMMUNITY BASED SERVICES CONFERENCE
AUGUST 28, 2019
AGENDA AND OBJECTIVES

Agenda

SECTION 1: TODAY’S PANELISTS
SECTION 2: A BRIEF HISTORY OF PARTICIPANT DIRECTION
SECTION 3: WHAT IS A SELF-ASSESSMENT?
SECTION 4: PANEL DISCUSSION
SECTION 5: QUESTION AND ANSWER

Objectives

At the conclusion of this session, participants will:

• Understand the purpose of a self-assessment in participant directed services
• Gain insight into concepts for the design and development of a self-assessment
• Identify successful implementation strategies for a self-assessment
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A BRIEF HISTORY OF PARTICIPANT DIRECTION
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Participant Directed Services (PDS), also known as:

- Self Direction
- Consumer Direction
- Veteran Directed
- Self-Administered Services
TIMELINE OF KEY DEVELOPMENTS IN PARTICIPANT DIRECTION

**Self Direction Through the Years**

- Began as part of the Person Centered movement in the late 1960s and 1970s
- Experimentation began in 1980s with small scale and pilot projects
- Robert Wood Johnson Foundation developed two grants in the 1990s: Self-Determination and Cash & Counseling
- Supreme Court’s 1999 *Olmstead* decision promotes HCBS efforts in all areas
- Grant success evolved into self directed options in Medicaid 1915(c) Waivers, followed by 1115 programs
- The Deficit Reduction Act (2005) and the Affordable Care Act (2010) authorized self-directed options in Medicaid 1915(i), (j), and (k) waivers

National Council on Disability* reports:

- 50 states have participant directed services
- 43 states have at least one program that allows budget authority

Common Barriers for Participant Direction:

- Administrative complexity
- Concern over fraud, waste, and abuse
- Institutional bias

WHAT IS THE PURPOSE OF A SELF-ASSESSMENT?
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Why Implement a Self-Assessment?

- Determine potential success of the PDS participant in assuming budget and/or employer authority
- Identify participant training and support needs to self-direct
- Drive development of execution plan for self-direction to support the goal of self directing
WHAT IS THE PURPOSE OF A SELF-ASSESSMENT?

Is there a regulatory basis for a self-assessment?

➢ There is no federal regulatory requirement for a self-assessment

➢ A self-assessment assists with informing and assisting participants

➢ 42 CFR 441.740: Self-directed Services

• (a) State Option
• (b) Service plan requirement
• (c) Budget authority
• (d) Employer Authority

• (e) Functions in support of self-direction
  • (1) Information and assistance consistent with sound principles and practice of self direction
WHAT IS THE PURPOSE OF A SELF-ASSESSMENT?

The National Leadership Consortium on Developmental Disabilities reports* participants are the most important facilitator of participant directed services.

“For the “Most Impactful Facilitator,” most respondents selected People who receive support—their attitudes, ability and opportunity as their first choice”

Can state programs provide tools to support the participant that multiply the impact?

* BARRIERS AND CATALYSTS TO SELF-DIRECTED SERVICES AND SUPPORTS FOR ADULTS WITH DISABILITIES
Results of the 2018 I/DD Provider Survey on Self-Directed Supports and Services, p. 16, National Leadership Consortium on Developmental Disabilities
POTENTIAL CHALLENGES TO CONSIDER

What are the challenges when implementing a self-assessment?

No standard format
• There is no widely-accepted format or delivery method for a PDS self-assessment

No evidence-based studies published
• No federal or state agency or university has yet devoted resources to create an evidence-based PDS self-assessment tool

May be considered administratively burdensome
• While a useful planning and strategy tool for participants, implementing a self-assessment entails more time and labor from a case manager, and entails training and monitoring from an agency

No national quality measures
• No federal agency or nationally recognized organization has studied or established a measure for the quality of a PDS self-assessment tool
PANEL DISCUSSION
SELF-ASSESSMENT: FROM CHECKLIST TO POWER TOOL

Self-Assessment Key Factors

- Decision
- Design
- Implementation
- Successes
Why create a self-assessment tool?

- PDS participants are not fully aware of responsibilities before choosing the PDS model
- PDS providers are unaware of support needs for PDS participants
- Functional assessments do not provide information on the participant’s ability to direct services
SELF-ASSESSMENT: FROM CHECKLIST TO POWER TOOL

Key Factors

Self-Assessment

Decision
- Functional assessments and other tools inform the self-assessment

What is most important to design a self-assessment?
- Stakeholder engagement is critical to effective design

Implementation
- Must be user-friendly and promote collaboration between case managers and PDS participants

Successes
- Consider expectations of participant responsibilities in PDS
SELF-ASSESSMENT: FROM CHECKLIST TO POWER TOOL

What should states consider when implementing a self-assessment?

**Decision**
- Not just another document to complete
- Successful launch requires stakeholder buy-in

**Design**
- Inform public of the tool’s purpose and limits

**Successes**
- Train case managers on the use of the tool and how to communicate the tool’s purpose
SELF-ASSESSMENT: FROM CHECKLIST TO POWER TOOL

Self-Assessment Key Factors

- Decision
  - Effective measure of participant needs from Case Managers / Fiscal Management Agencies
- Design
  - Clearly articulates differences between traditional and PDS models
- Implementation
  - Supports participant education and engagement

What successes can emerge by incorporating the tool?
**Example: Kentucky Self-Assessment Tool**

<table>
<thead>
<tr>
<th>Employer Responsibilities</th>
<th>Participant/Representative Response</th>
</tr>
</thead>
</table>
| 1. Recruiting: Recruiting an employee means looking for the person you want to hire. When looking for an employee, you may want to: | 1. I think I need a lot of help with these tasks.  
2. I think I need some help with these tasks.  
3. I think I can do these tasks without anyone’s help.  
4. I have no one to help me with these tasks other than my PDCM. |
| a. Write an ad that tells people what kind of job you need them to do |  |
| b. Place an ad in the newspaper, online job board (like Craigslist), or on social media (like Facebook), and pay for the ad if it costs money |  |
| c. Respond to calls, texts, or emails from interested people about the job you post |  |
| d. Find employees by talking to people in your community, like advocacy groups or organizations that work with older adults and/or people with disabilities |  |

If you said you needed help on any of the steps above, tell us what kind of help you might need. *(check all that apply)*

- □ Filling out paper forms
- □ Filling out forms online
- □ Paying for ads
- □ Other: ___________________
Example: Missouri Self-Assessment Tool

**Home and Community Based Services Manual**

**APPENDIX 10**

SELF DIRECTION ASSESSMENT QUESTIONS

Name________ DCN________ Date____

Assessment Questions to Assist in Determining Ability to Self-Direct

1. What is today’s date?
2. What time is it?
3. Do you speak and act on your own behalf?
4. Who schedules your health care appointments?
5. How do you ensure your medications are taken and refilled as prescribed?
6. Who assists you with shopping? Do you tell them what to buy and how much to spend?
7. What bills do you have and how are they paid?
QUESTION AND ANSWER
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