

EVALUATION PLAN

New York Office for People with Developmental Disabilities

Service Delivery System Transformation Plan

Start Date of Plan Period: April 1, 2013
End Date of Plan Period: March 31, 2014

As a component of the Special Terms and Conditions (STCs) for the Health System Transformation for Individuals with Developmental Disabilities (Attachment H), the New York State Office for People with Developmental Disabilities (OPWDD) hereby submits this draft evaluation plan for approval to the Centers for Medicare and Medicaid Services (CMS).

This evaluation plan will assess the degree to which the transformational goals have been achieved and/or key activities have been implemented. The evaluation plan includes a discussion of the transformation's major goals and activities, and measures and data that will be used in the evaluation.

In accordance with the Special Terms and Conditions for the transformation agreement, the State will submit quarterly evaluation reports during the extension period, noting continuous progress toward the transformation plan goals.

OVERVIEW OF THE TRANSFORMATION PLAN

The transformation plan was approved as of April 1, 2013, to provide OPWDD with resources and guidelines to ensure high-quality, appropriate services for individuals with developmental disabilities served in Medicaid-funded programs overseen by the New York State Department of Health and Centers for Medicare and Medicaid Services.

The OPWDD transformation plan includes four major components:

- Offering opportunities for individuals moving from OPWDD campuses to live in smaller, more personalized settings.
- Establishing a strategy for increasing supportive housing options, and a timeline for the transitioning of residents of intermediate care facilities to community settings.
- Increasing the number of individuals in competitive employment by 700 within one year.
- Educating more than 6,000 stakeholders to increase the number of individuals who are self-directing their services in part or whole from 850 to over 2,000 in this fiscal year.

Goals and Major Activities

The primary goals of the transformation plan are to de-institutionalize OPWDD services, expand competitive supported employment, make available education and opportunities for the self-direction of services, and plan an eventual transition to managed care.

Reportable information consists of:

Key Transformation Agenda Reporting Elements	Reference	Reporting Frequency
Specific transition information for residents of Finger Lakes and Taconic ICFs including MFP utilization and new residential settings meeting HCBS requirements (occurring over the course of the transition)	Attachment H #4(a,b)	Each Quarter
Progress for increasing availability of supportive housing options	Attachment H #4(d)	Each Quarter
Progress toward increasing number of individuals engaged in competitive employment (includes updated counts in SEMP)	Attachment H #5(a)	Each Quarter
Number of individuals remaining in sheltered workshops	Attachment H #5(b)	Each Quarter
The number of students who are aging out of the educational system and who have been determined eligible for OPWDD services, the number who enter ACCES-VR, and the number who enter OPWDD because they are not found ready by ACCES-VR	Attachment H #5(d)	4th Qtrtr/ Annual
Number of participant self-direction training/education sessions conducted and number of enrollees attending each session	Attachment H #6(b)	Each Quarter
Progress on approved evaluation design	Attachment H #3(a)(iv)(6)	Each Quarter

TECHNICAL APPROACH

As noted above, the primary goals of the transformation plan are to de-institutionalize OPWDD services, promote competitive supported employment and make available education and opportunities for the self-direction of services. To accomplish these goals, the transformation plan includes several key activities including transitioning individuals to alternate living arrangements, new workplaces and conducting education and outreach. This evaluation plan will assess the degree to which the key goals of the transformation plan goals were achieved and how the key activities of the transformation plan were implemented.

Evaluation Plan Approach

Designing the evaluation plan first involved a process to identify and document the transformation’s key goals and activities (delineated across several agreements then structured around the reporting requirements and definitional guidance of the CMS Special Terms and Conditions).

The evaluation itself will align with the benchmarks set by CMS, which in turn will assess the degree to which the transformation has been effective in the key activities undertaken. Specific variables and measures are identified in this plan to correspond to each mandate of the transformation plan, along with the identification of appropriate data sources.

Analysis Plan

The evaluation team will seek to document and measure the effects of the transformation plan on

observed outcomes in several ways:

- 1) The evaluation team will validate that targets set forth in the transformation plan agreement are reached with data which may be obtained from existing data systems, new systems created to augment the agency's current capacity, and/or direct analysis of deliverable products.
- 2) Where feasible, the evaluation will incorporate baseline measures for each of the selected variables included in the evaluation (baseline year may differ according to program activity). Data for each of the targeted variables and measures will be collected regularly so that changes in outcome measures and variables can be observed on a longitudinal basis.
- 3) The evaluation will compare rates of performance and measures with relevant State and national benchmarks, where possible. Incorporating benchmark measures will allow for external comparisons of transformation progress to State and national trends.

The evaluation features described above (analysis of qualitative contextual information, the use of baseline measures, ongoing data collection, and benchmarking) are the means by which the evaluation team will fully determine the effects of the transformation plan. Evaluation conclusions will include key findings regarding the completion of the plan goals, as well as broad conclusions about the effects of the transformation as a whole.

In addition, the evaluation will include specific recommendations of best practices and lessons learned that may be useful for OPWDD, other States, and CMS.

TRANSFORMATION PLAN: EVALUATION GOALS, MEASURES, AND DATA

The evaluation template on the following pages forms the foundation of our plan by identifying and organizing the goals, outcome measures and data sources that will be used to measure the State's success in achieving the major goals of the transformation plan.

The table outlines four major goal areas, and concomitant measures and milestones:

- improve the quality of services in line with person-centered planning and with a focus on individual outcomes
- ensure individuals are living in the most integrated setting possible, in accordance with the Olmstead decision
- increase the number of individuals with developmental disabilities employed competitively in integrated gainful employment at minimum wage or higher
- increase the opportunity for individuals with developmental disabilities to self direct their supports and services

The final evaluation report due to CMS by *June 30, 2014* will include all program components as detailed. Please also note that the timeframe of this evaluation plan pertains only to the planning stage of a managed care pilot, so no implementation or process measures are included this year. Furthermore, the eventual pilot will not fully integrate medical and habilitation care. At the appropriate time, updates to the evaluation plan will incorporate thorough assessment of integrated care coordination, but at this

stage medical care and prevention performance measures are instead found in the state's Accountability Plan.

Evaluation Template for the New York State OPWDD Transformation Plan Demonstration Period: April 1, 2013 through March 31, 2014

Key goals, evaluation questions, measures/variables,
activities and data sources for New York State

Goal 1: To improve the quality of services in line with person-centered planning and with a focus on individual outcomes

	Transformational Goal	Measures/Deliverables	Data Sources
A)	New York will provide a report on its progress toward the development of CQL measures by September 1, 2013.	The progress report will include the state's work plan for the implementation of the measures, including: <ul style="list-style-type: none"> i. the roll-out of the measures ii. the specific outcome measures to be used, and iii. the baseline against which the measures will be compared. 	Assessment and validation of finished product deliverable
B)	New York will show positive direction in system wide satisfaction trends for individuals receiving services	<ul style="list-style-type: none"> i. The number and percent of National Core Indicator (NCI) respondents who reported on the Adult Consumer Survey that the services and supports offered meet their needs ii. The number and percentage of NCI respondents who stated they are satisfied with their health and medical services ii. The number and percent of NCI respondents who responded that they were able to pick who comes to their planning meeting v. Number and percent of NCI respondents who report they can choose their own staff and/or service coordinator v. The number and percent of NCI respondents who report that their 	NCI survey (annual statewide sample) - analysis of longitudinal trends over past 5 years, plus ongoing monitoring during transformation phases

		vi. service planning meetings focused on what they want to do with their life Number and percentage of NCI respondents who use self-directed supports who reported that they can make changes to their budget/services ii. Number and percentage of NCI respondents who stated they like where they live	
--	--	--	--

Goal 2: To ensure individuals are living in the most integrated setting possible, in accordance with the Olmstead decision

	Transformational Goal	Measures/Deliverables	Data Sources
A)	By January 1, 2014, New York will transition a total of 148 residents from the Finger Lakes and Taconic ICFs to community-based settings that meet CMS HCBS settings standards referenced in the 1915(i) Notice of Proposed Rulemaking published in the federal register in April 2012.	Milestones: i. 7 residents will be transitioned prior to July 1, 2013 ii. 20 additional people transitioned by October 1, 2013 iii. the remaining 121 persons transitioned by January 1, 2014	OPWDD Tracking and Billing System
B)	Individuals transitioned will at least in part be eligible for and utilize the MFP process.	At least 30% of those persons (or a total of 44 persons) transitioned from institutions, both campus-based and non-campus-based ICFs, will qualify for MFP (i.e. can be transitioned into an MFP qualified residence).	TABS/MFP Participant Tracking Report
C)	Seven domains of quality of life of individuals transitioning from institutional care to care in a community based setting will be evaluated on an ongoing basis: <i>living situation, choice and control, access to personal care, respect/dignity, community integration/inclusion, overall life satisfaction, and health status</i>	A quality of life survey (The Money Follows the Person survey tool) will be administered to all participants at three points in time – i. just prior to transition ii. about 11 months after transition, and iii. about 24 months after transition.	Compilation and analysis of survey data will allow for change score computations in all life quality domains, over periods i.- iii.
D)	The OPWDD system will be de-institutionalized completely.	By August 1, 2013, New York must submit a draft timeline for transition of the residents of the remaining campus and non-campus-based ICF's to community- based settings.	Assessment and validation of finished product deliverable

Goal 3: Increase the number of individuals with developmental disabilities employed competitively in integrated gainful employment at minimum wage or higher

	Transformational Goal	Measures/Deliverables	Data Sources
A)	Increasing the number of persons engaged in competitive employment, through Supported Employment.	<p>Milestones:</p> <ul style="list-style-type: none"> i. Increase of individuals competitively employed by 700 persons above the previous 12 month enrollment, with no exceptions for attrition during the period of 4/ 2013 and 3/2014. ii. New York will increase the number of persons in competitive employment by no less than 250 persons by October 1, 2013, with no exceptions for attrition. 	NYESS, provider reports
B)	New York will target youth as a priority in its employment initiative.	<p>The state will report to CMS on an annual basis:</p> <ul style="list-style-type: none"> i. the number of students who are aging out of the educational system and who have been determined eligible for OPWDD services ii. the number who enter ACCESS-VR iii. and the number who enter OPWDD because they are not found ready iv. the type of wrap around behavioral and/or medical supports available to youth as they transition from the educational system to competitive employment v. the number of transitioning youth who enter employment 	TABS
C)	Gauge the workforce participation satisfaction of individuals	<p>NCI survey questions:</p> <ul style="list-style-type: none"> i. The proportion of individuals who have an integrated job in the community. ii. The proportion of individuals who do not have an integrated job in the community, but would like one iii. The proportion of individuals who would like to work somewhere else 	NCI survey (annual statewide sample)

Goal 4: Increase the opportunity for individuals with developmental disabilities to self-direct their supports and services

	Transformational Goal	Measures/Deliverables	Data Sources
A)	New York will increase the number of people offered the option to self-direct their services through increased education to all stakeholders in a consistent manner statewide - the meaning of each element of self-direction will be fully explained to individuals with	This outreach and education will be provided to at least 1,500 beneficiaries (with designated representatives as needed) per quarter beginning on April 1, 2013. New York will submit a quarterly report of the number of training/education sessions conducted and the number of persons attending the sessions. At year's end a focus group will be held to help learn the most helpful modes of	<p>Div of Person Centered Supports Tracking</p> <p>DQI field survey of care coordination</p>

	disabilities.	<p>outreach.</p> <p>The number and percent of HCBS waiver participants who were provided information to make an informed choice on whether to self-direct their supports and services during the service planning process.</p>	
B)	More individuals with developmental disabilities will self-direct their services.	<p>New York will provide a report to CMS no later than July 1, 2013, on the current number of persons with IDD and other disabilities who self-direct their services under this demonstration. New York will enable a total of 1,245 new beneficiaries to self-direct services for the period of July 1, 2013 through March 31, 2014 subject to the following:</p> <ul style="list-style-type: none"> i. By September 30, 2013, 350 new beneficiaries will self-direct services ii. By December 31, 2013, 425 new beneficiaries will self-direct services iii. By March 31, 2014, 470 new beneficiaries will self-direct services <p>Final metric (from baseline to June 30 evaluation report): the increased number and percent of HCBS waiver participants who self-direct their supports and services with both employer authority and budget authority. Demographic and basic program data on people self-directing will also be included in future quarterly progress reports (initially limited to those in Consolidated Supports and Services).</p>	e-MedNy data