



**NCI-AD Performance Indicators: A Quality Improvement Tool for
Person-Centered Service Planning**

Updated for the 2016-2017 Survey Year

Second in a Series of Technical Assistance Tools for States

www.nci-ad.org

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The National Core Indicators—Aging and Disabilities (NCI-AD) is an initiative designed to support state interest in assessing performance of publicly-funded long-term services and supports (LTSS) systems in order to improve services for older adults and individuals with disabilities. A collaborative effort between the National Association of States United for Aging and Disabilities (NASUAD) and the Human Services Research Institute (HSRI), NCI-AD seeks to collect and maintain valid and reliable data that give states a comprehensive picture of the impact of publicly funded services on service recipients' quality of life and outcomes.

HSRI analyzes each state's NCI-AD data and produces reports comparing their performance to other participating states. States can use NCI-AD reports to strengthen policy related to LTSS, inform quality improvement activities, and compare their performance with national norms.

Data for the project are gathered through an annual in-person survey, the NCI-AD Consumer Survey, administered by state agencies. States collect survey information in person from older adults and adults with disabilities—and, if needed, from their families, caregivers, or advocates who know them well. Each participating state's annual survey sample consists of at least 400 older adults and adults with physical disabilities who receive services in any setting funded through Medicaid, and/or state-funded programs, as well as older adults served by Older Americans Act programs. In addition to the in-person data collection, the survey instrument includes a background section, which survey administrators may fill out by consulting agency records.

This document is the second in a series of technical assistance resources to be developed for aging and disabilities under the NCI-AD initiative. A similar guide was prepared for service systems supporting adults with intellectual and developmental disabilities.

New Federal Home and Community-based Service Requirements

Since the advent of home and community-based services (HCBS) waivers almost three decades ago, the Centers for Medicare & Medicaid Services (CMS) has continued to evolve expectations for these services—and the quality requirements for their operation. In March 2014, CMS issued new HCBS rules requiring person-centered service planning and documentation.

CMS expected that compliance with the person-centered service planning and documentation requirements would occur as service plan meetings were undertaken after the new requirements became effective in March 2014. Service planning and plan documentation are not a focus of the NCI-AD survey instrument and thus do not provide states with direct evidence of system-wide compliance for either person-centered service planning process or plan documentation requirements. However, the NCI-AD survey does collect rich information about characteristics of a person-centered service delivery system, many of which relate to person-centered service planning (e.g., Survey Question 82, Do the services you receive meet your needs and goals?). For this reason, this tool identifies NCI-AD data useful for quality management activity related to a person-centered service delivery system.

This document is organized as follows:

- I. NCI-AD data sources useful for quality management activities regarding HCBS Requirements for Person Centered Service Planning Process** p. 4

- II. At-a-glance Quick View Table identifying the extent to which NCI-AD data can be used for quality management: activities addressing person-centered service planning processes** p. 14

Disclaimer: This document was developed by NCI-AD staff and has not yet been reviewed or approved by the Centers for Medicare & Medicaid Services. Thank you to Elizabeth Pell at HSRI for authoring and providing the design and template for this document. For comments or questions, please contact Dr. Julie Bershadsky, HSRI, at jbershadsky@hsri.org or Kelsey Walter, NASUAD, at kwalter@nasuad.org.

I. NCI-AD Data for Quality Management Activity regarding HCBS Person-Centered Service Planning Process Requirements

Information about an individual’s service planning process is *not explicitly* addressed in the NCI-AD Consumer Survey. However, many aspects indicative of a person-centered service planning process and a person-centered service system are captured. For example, the NCI-AD survey asks if information is provided in the person’s primary language. An individual cannot drive his or her service planning process if information is not accessible. Demonstrating that individuals, particularly those in congregate settings, have information in their preferred language, are offered the opportunity to self-direct, and have supports to fully communicate and express preferences (eyeglasses, communication aids, etc.) is relevant for states because these indicators characterize a person-centered approach to service delivery.

Where NCI-AD data relates to a person-centered service delivery but is not useful for direct evidence of compliance with CMS’ revised service planning requirements we note data is *useful in part* for system-wide evaluation and quality management.

Follows are the HCBS Person-centered Service Plan Process Requirements and relevant NCI-AD data sources for system-wide evaluation and quality improvement.

1. **Requirement:** Service planning process is driven by the individual.

NCI-AD data useful in part for demonstrating compliance:

Background Information, BI-12	Is this person currently participating in a self-directed supports option?
Service Satisfaction, Q11	Do you receive information about your services in the language you prefer?
Service Satisfaction, Q14	If you want to make changes to your services, do you know whom to contact?
Service Satisfaction, Q15	Can you choose or change what kind of services you get?
Service Satisfaction, Q16	Can you choose or change how often and when you get your services?
Direct Care Workers/ Daily Activities Q25	Can you change the people who are paid to provide your services if you wanted to?
Planning for Future, Q84	Do the services you receive meet your needs and goals?
Planning for Future, Q86	Has your case manager/care coordinator talked to you about services that might help with your needs and goals?

2. Requirement: Provides necessary information and support to ensure that the individual directs the process to the maximum extent possible.

NCI-AD data useful in part for demonstrating compliance:

Background Information, BI-12	Is this person currently participating in a self-directed supports option?
Service Satisfaction, Q11	Do you receive information about your services in the language you prefer?
Service Satisfaction, Q13	Can you reach your case manager/care coordinator when you need to?
Service Satisfaction, Q14	If you want to make changes to your services, do you know whom to contact?
Service Satisfaction, Q15	Can you choose or change what kind of services you get?
Service Satisfaction, Q16	Can you choose or change how often and when you get your services?
Service Satisfaction, Q25	Can you change the people who are paid to provide your services if you wanted to?
Planning for Future, Q84	Do the services you receive meet your needs and goals?
Planning for Future, Q86	Has your case manager/care coordinator talked to you about services that might help with your needs and goals?
Planning for Future, Q87	Do you want any help planning for your future need for services?

3. Requirement: Reflects cultural considerations.

NCI-AD data useful in part for demonstrating preparation for service planning:

Background Information, BI-5	What is the person’s primary language?
Background Information, BI-6	What is the person’s preferred means of communication?
Service Satisfaction, Q11	Do you receive information about your services in the language you prefer?

4. Requirement: Plan discussions are in plain language. Information is available in a manner that is accessible to individuals.

NCI-AD data useful in part for demonstrating readiness to communicate in service planning:

Background Information, BI-6	What is the person’s preferred means of communication?
Service Satisfaction, Q11	Do you receive information about your services in the language you prefer?

5. Requirement: Offers informed choices to the individual regarding the services and supports the individual receives and from whom.

Data is available on service and support choices but *not* whether these choices were discussed during service planning.

NCI-AD data useful in part for demonstrating compliance:

a. Home

Home, Q3	What don’t you like about where you live? [Note: Asked when person indicates they do not, or do not always, like where they live.]
Home, Q4	Would you prefer to live somewhere else (<i>in a different kind of home</i>)? <i>We are not talking about geography, but rather the kind of place you’d like to live in.</i>
Home, Q5	Where would you prefer to live? <i>Again, we are not talking about geography, but rather the kind of place you’d like to live in.</i>

b. Choice of Case Manager

Service Satisfaction, Q12	Do you have a case manager or care coordinator—someone whose job it is to help set up and coordinate services with you?
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c. Choice of Support Staff

Direct Care Workers/ Daily Activities, Q25	Can you change the people who are paid to provide your services if you wanted to?
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d. Activities

Service Satisfaction, Q15	Can you choose or change what kind of services you get?
Service Satisfaction, Q16	Can you choose or change how often and when you get your services?

Community, Q50	Do you have transportation when you <u>want to do things outside of your home/ where you live</u> , like visit a friend, go for entertainment, or do something for fun?
Community, Q51	Are you as active in your community as you'd like to be?
Community, Q52	Why not (or why only sometimes)? Is it any of the following? Response options include: <ul style="list-style-type: none"> • Cost/money • Transportation • Accessibility/lack of equipment • Health limitations • Not enough help/staffing/ personal assistance • Feeling unwelcome in the community • Feeling unsafe • No community activities outside of home available • Lack of information /doesn't know what type of community activities are available
Community, Q53	Have you tried to leave the house to go somewhere in the past week and not been able to?
Community, Q56	Would you like a job?
Community, Q57	Has someone talked to you about job options? <i>Has someone talked to you about finding a job?</i> [Note: Asked if person indicates interest in a job but does not have paid work.]
Community, Q59	Would you like to do any volunteer work?
Everyday Living, Q60	Do you like how you usually spend your time during the day?
Planning for Future, Q85	What additional services might help you?
Planning for Future, Q86	Has your case manager/care coordinator talked to you about services that might help with your needs and goals?

6. Requirement: Provides a method for individual to request updates.

NCI-AD does not inquire whether there is a process or method in place for individuals to request service plan updates. However, individuals are asked if they know whom to call if they want new or different services or supports.

NCI-AD data useful in part for demonstrating compliance:

Service Satisfaction, Q14	If you want to make changes to your services, do you know whom to contact?
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7. Requirement: May include whether and what services are self-directed.

Data captures whether a person is using self-directed services, but not the specific service(s) being self-directed.

NCI-AD data useful in part for demonstrating compliance:

Background Information, BI-12	Is this person currently participating in a self-directed supports option?
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8. Requirement: Includes individually identified goals and preferences related to relationships, community participation, employment, income and savings, healthcare and wellness, education and others.

NCI-AD does *not address* whether a person’s preferences in these areas are incorporated into the service plan. However, preference data is collected regarding relationships, employment, community participation, and healthcare and wellness.

NCI-AD data useful in part for demonstrating compliance:

a. Relationships

Relationships, Q6	Do you have friends or family (who do not live with you) who are involved in your life?
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Relationships, Q7	Are you able to <u>see</u> or <u>talk to</u> your friends and family (who do not live with you) when you want to?
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Relationships, Q8	Why not (<i>or why only sometimes</i>)? Is it any of the following? [Note: Asked when person notes they do not see friends or family at desired frequency.] Response options include:
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- Availability of transportation
- Accessibility
- Staffing unavailable
- Health limitations
- Someone prevents or there are rules that restrict seeing or talking to friends or family

b. Employment

Everyday Living, Q55	Do you have a paying job in the community?
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Everyday Living, Q56	Would you like a job?
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Everyday Living, Q57	Has someone talked to you about job options? <i>Has someone talked to you about finding a job?</i> [Note: Asked if person indicates interest in a job but does not have paid work.]
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c. Community Participation

Home, Q3	<p>What don't you like about where you live? [Note: Asked when person notes they do not, or do not always, like where they live.] Response options include:</p> <ul style="list-style-type: none"> • Feels isolated from the community/ feels lonely 		
Physical Environment, Q32	<p>Many people make changes to their homes such as adding grab bars, ramps, and bathroom modifications to make it easier to live at home. <i>To clarify, we are not talking about general repairs to the house, but rather specialized modifications.</i> Do you have or need any of the following changes made to your home (or an upgrade to the one you have)? Response options include:</p> <ul style="list-style-type: none"> • Grab bars • Bathroom modifications • Specialized bed • Ramp or stair lift 		
Safety/Security/Privacy, Q35	<p>Do you or somebody else have concerns about you falling or being unsteady?</p>		
Safety/Security/Privacy, Q36	<p>Has somebody talked to you about or worked with you to reduce your risk of falling or being unsteady? <i>This could be a professional, family member, or a friend.</i></p>		
Community, Q50	<p>Do you have transportation when you <u>want to do things outside of your home/ where you live</u>, like visit a friend, go for entertainment, or do something for fun?</p>		
Community, Q51	<p>Are you as active in your community as you'd like to be?</p>		
Community, Q52	<p>Why not (or why only sometimes)? Is it any of the following? Response options include:</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> • Cost/money • Transportation • Accessibility/lack of equipment • Health limitations • Not enough help/staffing/ personal assistance • Feeling unwelcome in the community </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> • Feeling unsafe • No community activities outside of home available • Lack of information /doesn't know what type of community activities are available </td> </tr> </table>	<ul style="list-style-type: none"> • Cost/money • Transportation • Accessibility/lack of equipment • Health limitations • Not enough help/staffing/ personal assistance • Feeling unwelcome in the community 	<ul style="list-style-type: none"> • Feeling unsafe • No community activities outside of home available • Lack of information /doesn't know what type of community activities are available
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Community, Q53	<p>Have you tried to leave the house to go somewhere in the past week and not been able to?</p>		

Community, Q54 Many people use devices like a cane, walker, scooter, or a wheelchair to help them get around or things like hearing aids, glasses or communication devices to help with their everyday lives. Do you need any of the following (or an upgrade to the one you have)? Response options include:

- Walker
- Scooter
- Cane
- Wheelchair
- Hearing aids
- Glasses
- Communication device
- Other device

Everyday Living, Q58 Do you do any volunteer work?

Everyday Living, Q59 Would you like to do any volunteer work?

d. Healthcare and Wellness

Everyday Living, Q63 Do you ever have to skip a meal due to financial worries?

Everyday Living, Q64 Do you have access to healthy foods like fruits and vegetables when you want them?

Health and Wellness, Q65 How would you describe your overall health?

Health and Wellness, Q66 Compared to 12 months ago, how would you say your health is?

Health and Wellness, Q69 During the past 12 months, do you forget things more often than before?

Health and Wellness, Q70 Have you or anyone else discussed your forgetting things with a doctor or nurse? [Note: If indicated they are forgetting things more often than before in Q69]

Health and Wellness, Q71 Do you have a chronic psychiatric or a mental health diagnosis, such as bipolar disorder, schizophrenia, or major depressive disorder? *Have you been given a mental health or psychiatric diagnosis by a doctor?*

Health and Wellness, Q72 How often do you feel sad or depressed?

Health and Wellness, Q73 During the last 12 months, have you talked to someone about feeling sad and depressed? *This could be a family member, a doctor or nurse, or someone else.*

Health and Wellness, Q74 Do you take any medications that help you feel less sad or depressed?

Healthcare, Q75 Can you get an appointment to see your primary care doctor when you need to?

Healthcare, Q76	In the past year have you gone to the emergency room for any reason?
Healthcare, Q76a	Was it because of falling or losing balance?
Healthcare, Q76b	Was it because of tooth or mouth pain?
Healthcare, Q77	In the past 12 months have you stayed overnight in the hospital or a rehab/nursing facility (and were discharged to go home/ where you live)?
Healthcare, Q78	When leaving the hospital or the rehab/nursing facility, did you feel comfortable and supported enough to go home?
Healthcare, Q79	After leaving the hospital or rehab/nursing facility and going home, did anyone follow-up with you to make sure you had the services, supports and help you needed? This could be a doctor, case manager, social worker, or others.
Healthcare, Q80	Have you had the following preventive care? <ul style="list-style-type: none"> ● Physical exam/wellness visit (past 12 months) ● Hearing exam (past 12 months) ● Vision exam (past 12 months) ● Flu shot (past 12 months) ● Routine dental visit (past 12 months) ● Cholesterol screening (in past 5 years)
Healthcare, Q81	Do you have any chronic condition or conditions? <i>Some examples are diabetes, asthma, arthritis, heart disease, high blood pressure, but it could be many other conditions that last at least several months?</i>
Healthcare, Q82	Do you know how to manage that chronic condition or conditions? [Note: Asked if person indicated they have a chronic condition(s) in Q81]
Healthcare, Q83	If you take prescription medications, do you understand what you take your medications for?

9. Requirement: Includes risk factors and plans to minimize them

NCI-AD *does not address* whether risk factors were discussed during service planning or whether plans are in place to minimize risk. However, data is collected in many areas of potential risk, risk mitigation and consumer empowerment.

NCI-AD data useful in part for demonstrating compliance:

Background Information, BI-13	<p>Does the person have a formal diagnosis of any of the following conditions? Response options are:</p> <ul style="list-style-type: none"> ● Physical disability ● Alzheimer’s disease ● Acquired brain injury, traumatic brain injury ● Intellectual or other developmental disability (diagnosed before age 22) 		
Background Information, BI-15	<p>Does the person have a history of frequent falls (more than two in a six-month period)?</p>		
Physical Environment, Q32	<p>Many people make changes to their homes to make it easier to live at home. Do you have or need any of the following changes made to your home (or an upgrade to the one you have)? Response options include physical accessibility aids:</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ● Grab bars ● Bathroom modifications ● Specialized bed ● Ramp or stair lift </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ● Remote monitoring ● Personal emergency response system ● Other </td> </tr> </table>	<ul style="list-style-type: none"> ● Grab bars ● Bathroom modifications ● Specialized bed ● Ramp or stair lift 	<ul style="list-style-type: none"> ● Remote monitoring ● Personal emergency response system ● Other
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Safety/Security/Privacy, Q33	<p>Do you have any emergency plan in place? For example, do you know what to do in a case of a natural disaster, disease outbreak or another wide-scale emergency?</p>		
Safety/Security/Privacy, Q34	<p>Are you able to get to safety quickly in case of an emergency like a fire or a natural disaster?</p>		
Safety/Security/Privacy, Q35	<p>Do you or somebody else have concerns about you falling or being unsteady?</p>		
Safety/Security/Privacy, Q36	<p>Has somebody talked to you about or worked with you to reduce your risk of falling or being unsteady? <i>This could be a professional, family member, or a friend.</i></p>		
Safety/Security/Privacy, Q37	<p>Do you feel safe at home/where you live?</p>		
Community, Q54	<p>Many people use devices like a cane, walker, scooter, or a wheelchair to help them get around or things like hearing aids, glasses or communication devices to help with their everyday lives. Do you need any of the following (or an upgrade to the one you have)? Response options include:</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ● Walker ● Scooter ● Cane ● Wheelchair </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ● Hearing aids ● Glasses ● Communication device </td> </tr> </table>	<ul style="list-style-type: none"> ● Walker ● Scooter ● Cane ● Wheelchair 	<ul style="list-style-type: none"> ● Hearing aids ● Glasses ● Communication device
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Everyday Living, Q63	Do you ever have to skip a meal due to financial worries?
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Health and Wellness, Q69	During the past 12 months, do you forget things more often than before?
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Healthcare, Q78	When leaving the hospital or the rehab/nursing facility, did you feel comfortable and supported enough to go home?
Healthcare, Q79	After leaving the hospital or rehab/nursing facility and going home/ where you live, did anyone follow-up with you to make sure you had the services, supports and help you needed? This could be a doctor, case manager, social worker, or others.

Healthcare, Q80	<p>Have you had the following preventive care?</p> <ul style="list-style-type: none"> ● Physical exam/wellness visit (past 12 months) ● Hearing exam (past 12 months) ● Vision exam (past 12 months) ● Flu shot (past 12 months) ● Routine dental visit (past 12 months) ● Cholesterol screening (in past 5 years)
Healthcare, Q81	<p>Have you been diagnosed with a chronic condition or conditions? Some examples are diabetes, asthma, arthritis, heart disease, high blood pressure, but it could be other conditions that last several months or longer.</p>
Healthcare, Q82	<p>Do you know how to manage that chronic condition or conditions?</p>
Healthcare, Q83	<p>If you take prescription medications, do you understand what you take your medications for?</p>
Planning for Future, Q84	<p>Do the services you receive meet your needs and goals?</p>

II. HCBS Requirements and NCI-AD Data: Quick View Tables

Table 1. HCBS Person-centered Service Plan Process Requirements*

HCBS Requirement	NCI-AD Data Available
Service planning process is driven by the individual	Yes, in part
Includes people chosen by the individual	Not addressed
Provides necessary information and support to ensure that the individual directs the process to the maximum extent possible	Yes, in part
Is timely; occurs at times and locations convenient to the individual	Not addressed
Reflects cultural considerations	Yes, in part
Plan discussions are in plain language. Information is available in a manner that is accessible to individuals.	Yes, in part
Includes strategies for solving disagreement within the process, including clear conflict-of-interest guidelines for all planning participants	Not addressed
Offers choices to the individual regarding the services and supports the individual receives and from whom	Yes, in part
Provides a method for individual to request updates	Yes, in part
May include whether and what services are self-directed	Yes, in part
Signed by all individuals and providers responsible for its implementation. A copy of plan must be provided to individual and his/her representative.	Not addressed
Includes individually identified goals and preferences related to relationships, community participation, employment, income and savings, healthcare and wellness, education and others	Yes, in part
Identifies the strengths, preferences, needs (clinical and support), and desired outcomes of individual	Not addressed
Includes risk factors and plans to minimize them	Yes, in part
Conducted to reflect what is important to the individual to ensure delivery of services in a manner reflecting personal preferences and ensuring health and welfare	Yes, in part

***Applicable to 1915(c) waivers and 1915(i) state plan options.**