

AE Forum: Multi-Year Program Growth Strategy

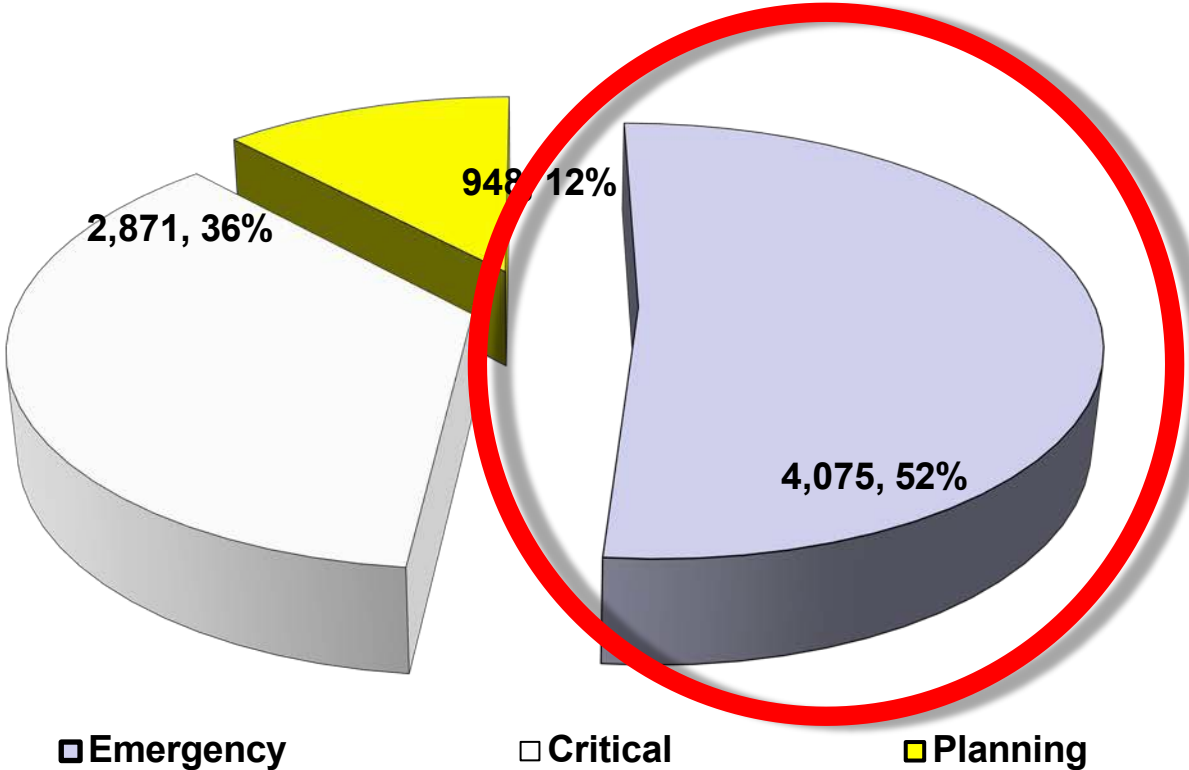
December 3, 2024

Agenda

| | |
|-------------------|---|
| 10:00am – 10:15am | Welcome and Introductions |
| 10:15am – 10:30am | <i>The Why?</i> Waiting List Management from a Caregivers Perspective |
| 10:30am – 11:15am | Review of the Data, Systems Change, and the Strategy |
| 11:15am – 11:30am | BREAK |
| 11:30am – 12:30pm | AE Readiness, Protocols, PUNS, Operating Agreement |
| 12:30pm – 1:15pm | LUNCH |
| 1:15pm – 2:15pm | AE Dashboard |
| 2:15pm – 2:30pm | BREAK |
| 2:30pm – 3:15pm | MYGS Readiness Small Group Activity |

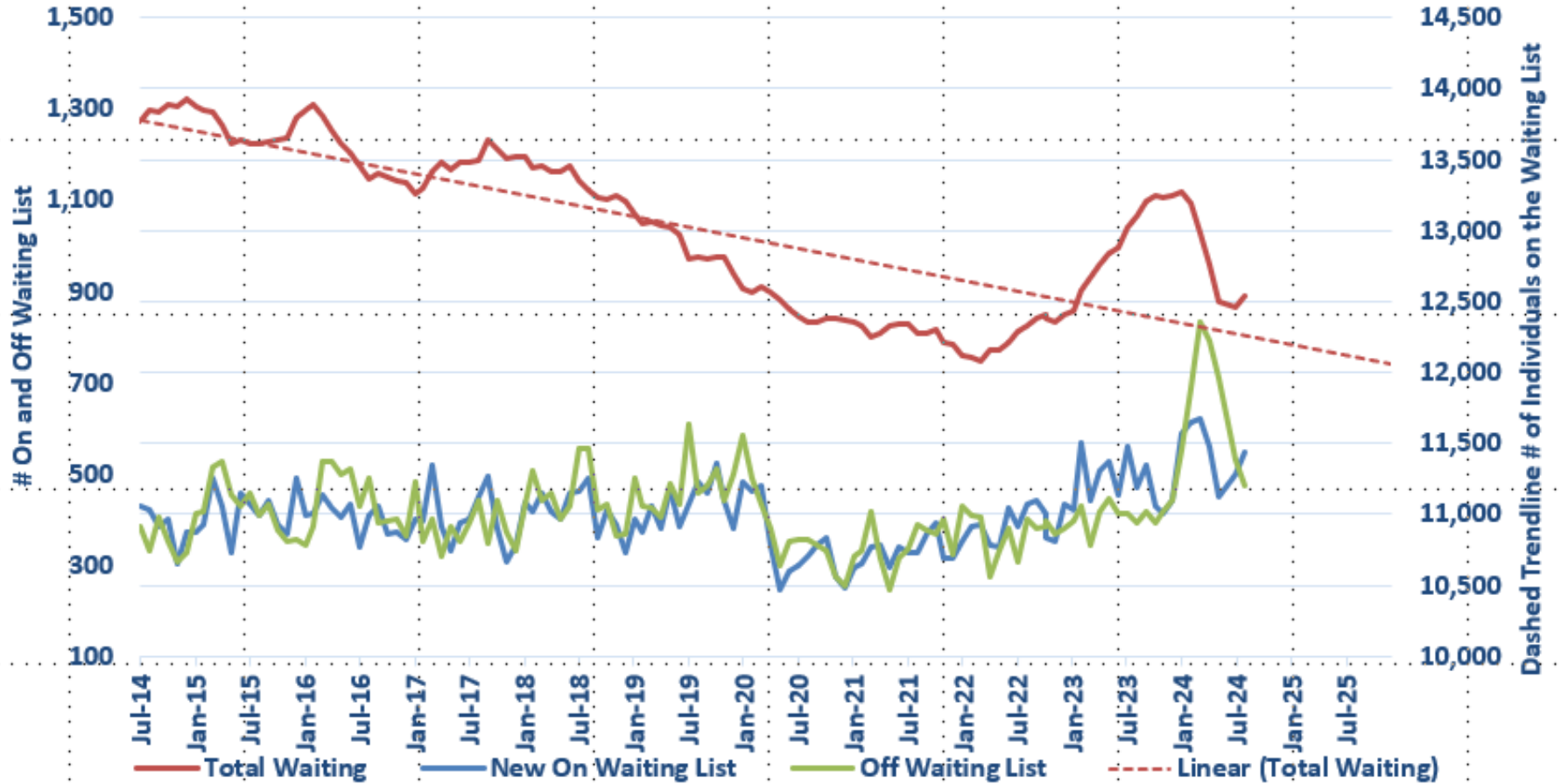
Adults 21+ on PUNS

PUNS as of 07/31/2024
Fully Served Category was excluded



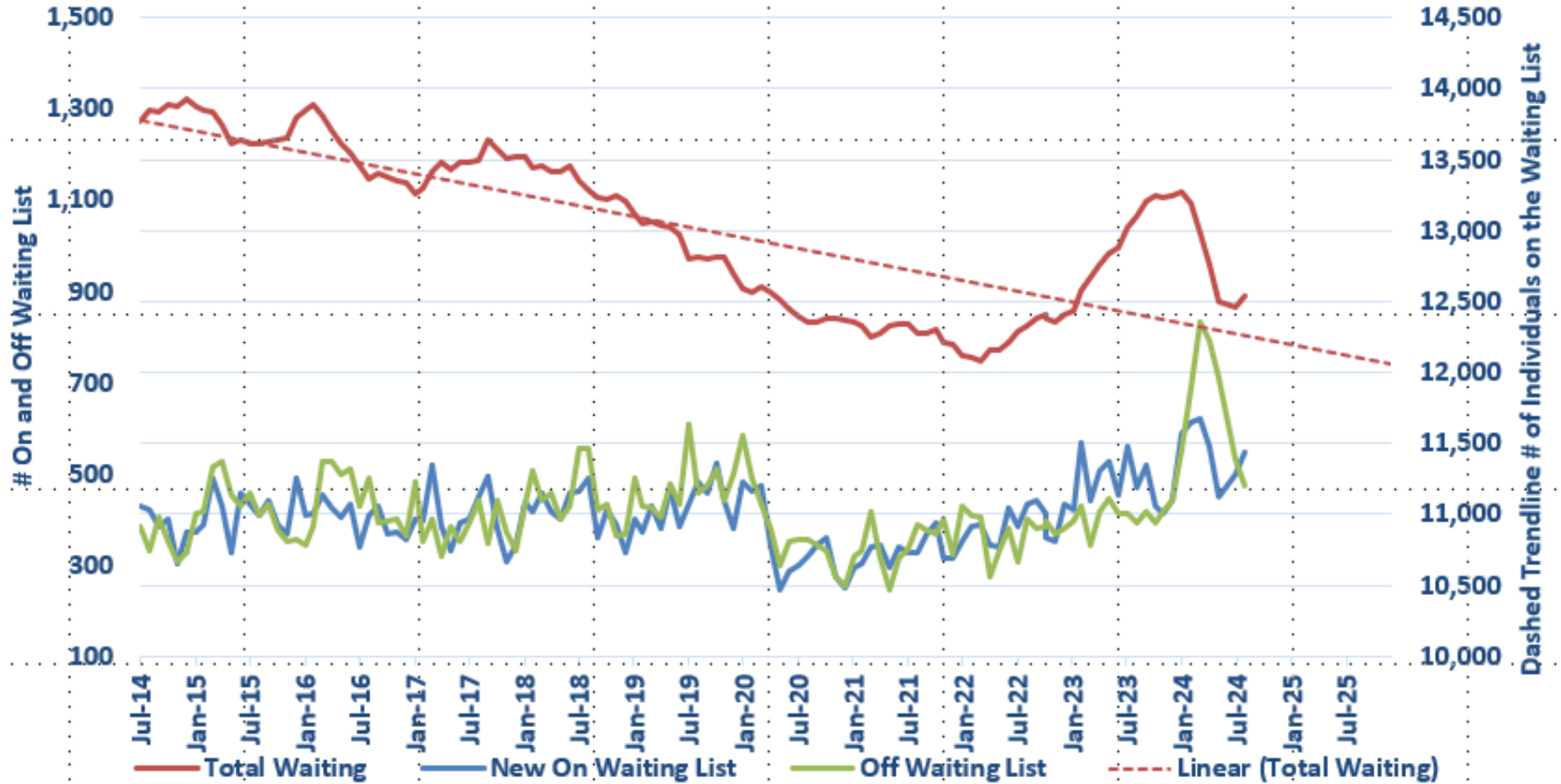


Number of Individuals ALL AGES On and Off the Waiting List Compared to Number of Individuals on the Waiting List



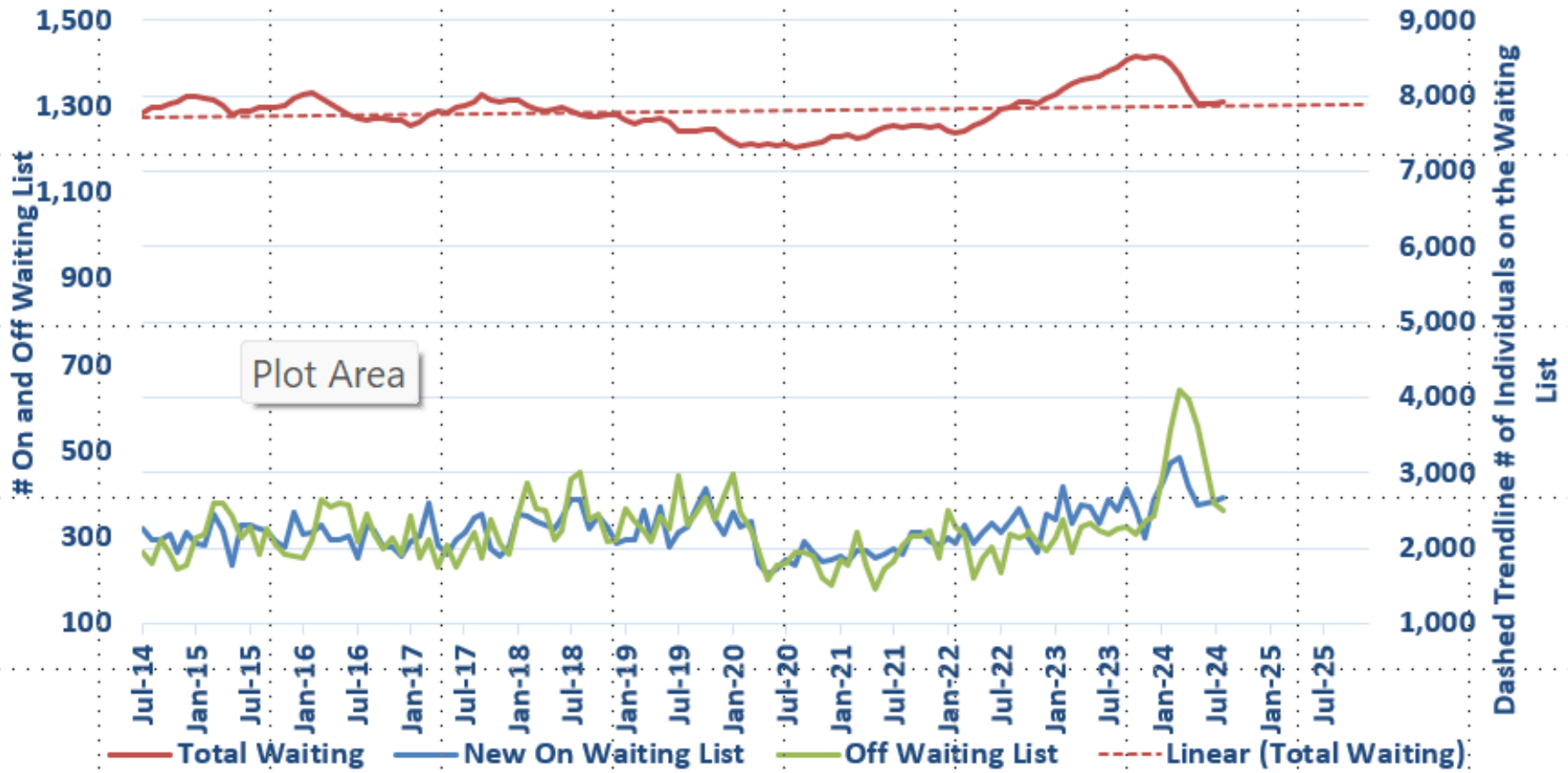


Number of Individuals ALL AGES On and Off the Waiting List Compared to Number of Individuals on the Waiting List



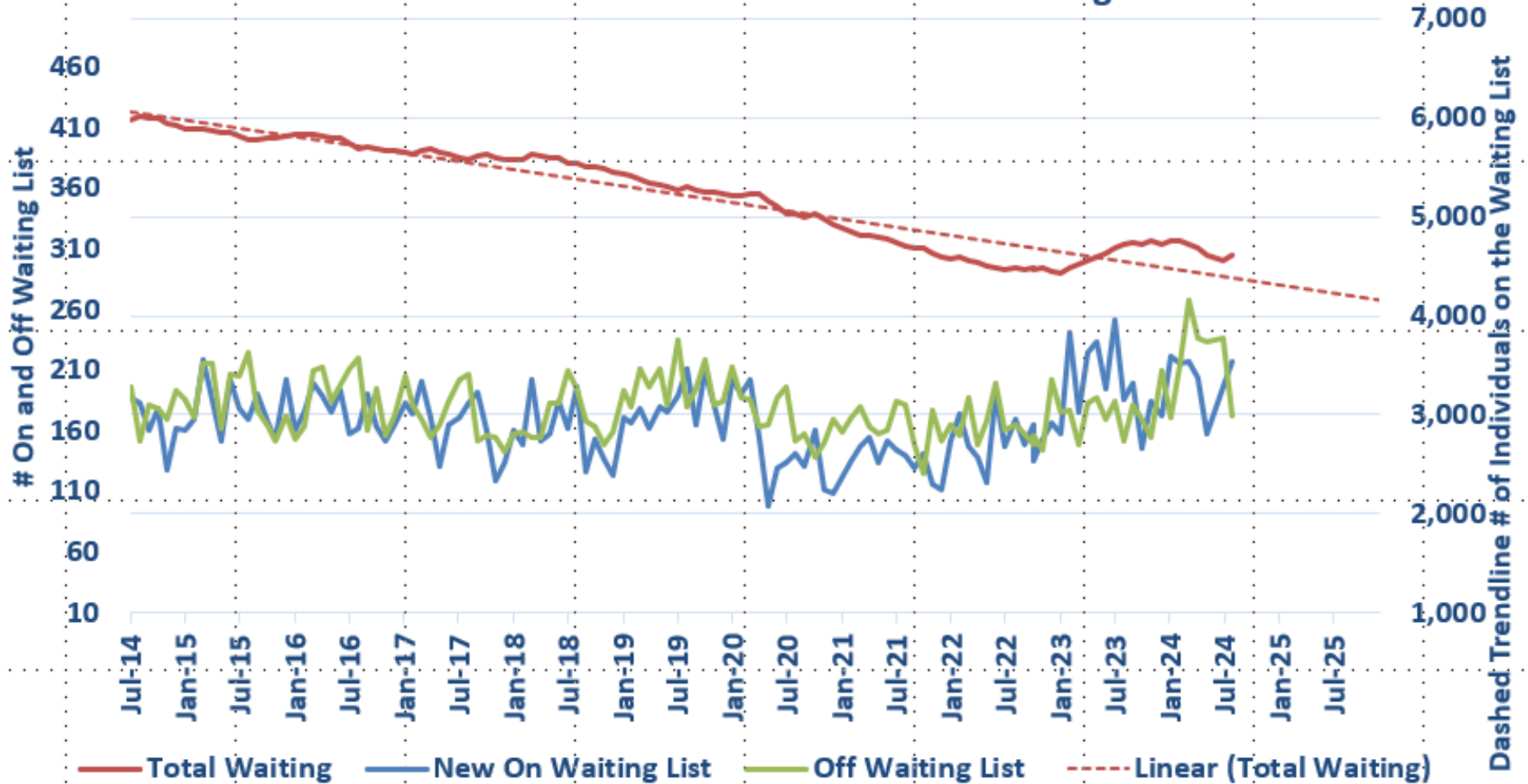


Number of Individuals Age 21+ On and Off the Waiting List Compared to Number of Individuals on the Waiting List

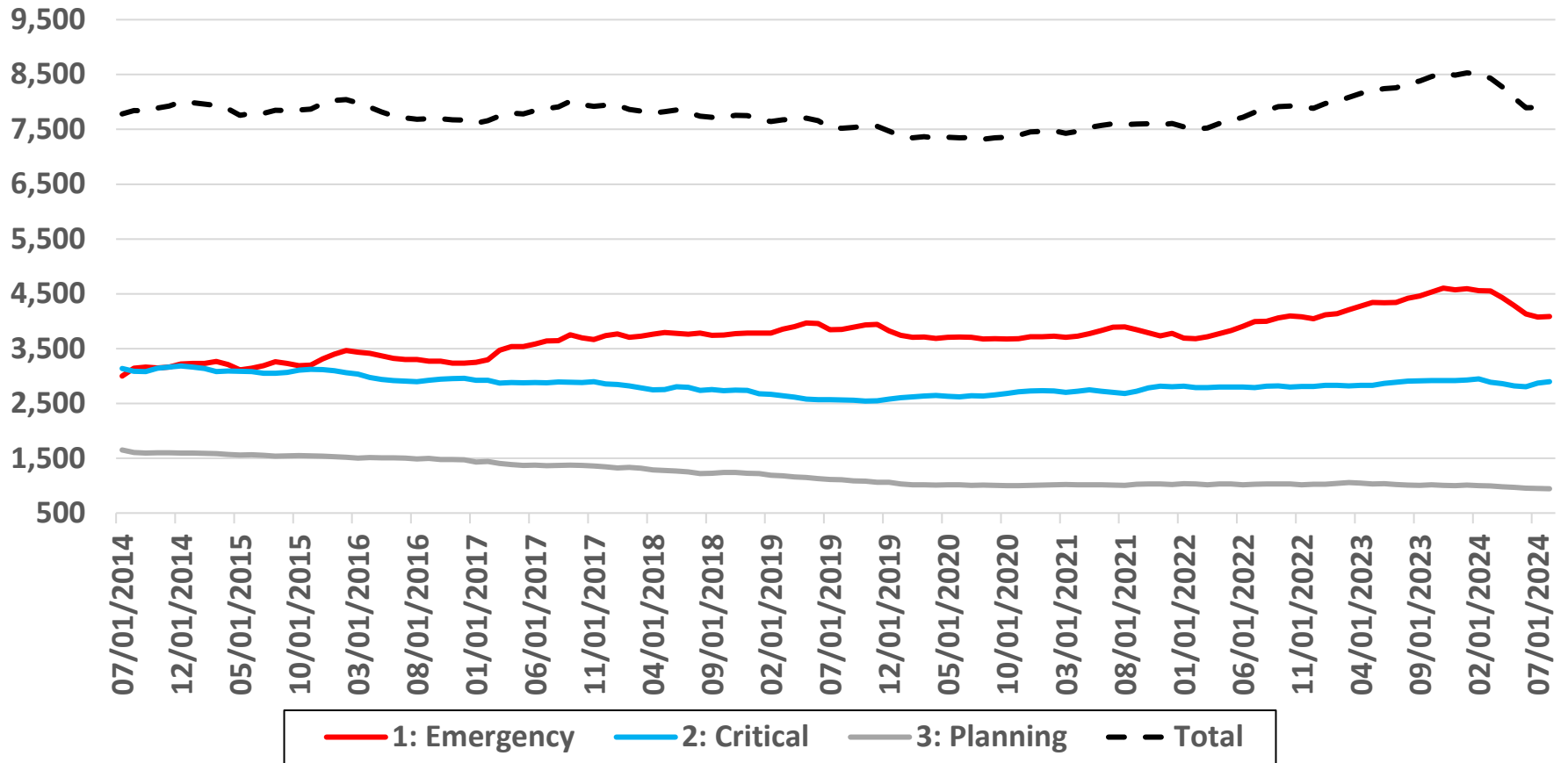




Number of Individuals Under 21 On and Off the Waiting List Compared to Number of Individuals on the Waiting List



Adults 21+ for 10 years by Urgency of Need

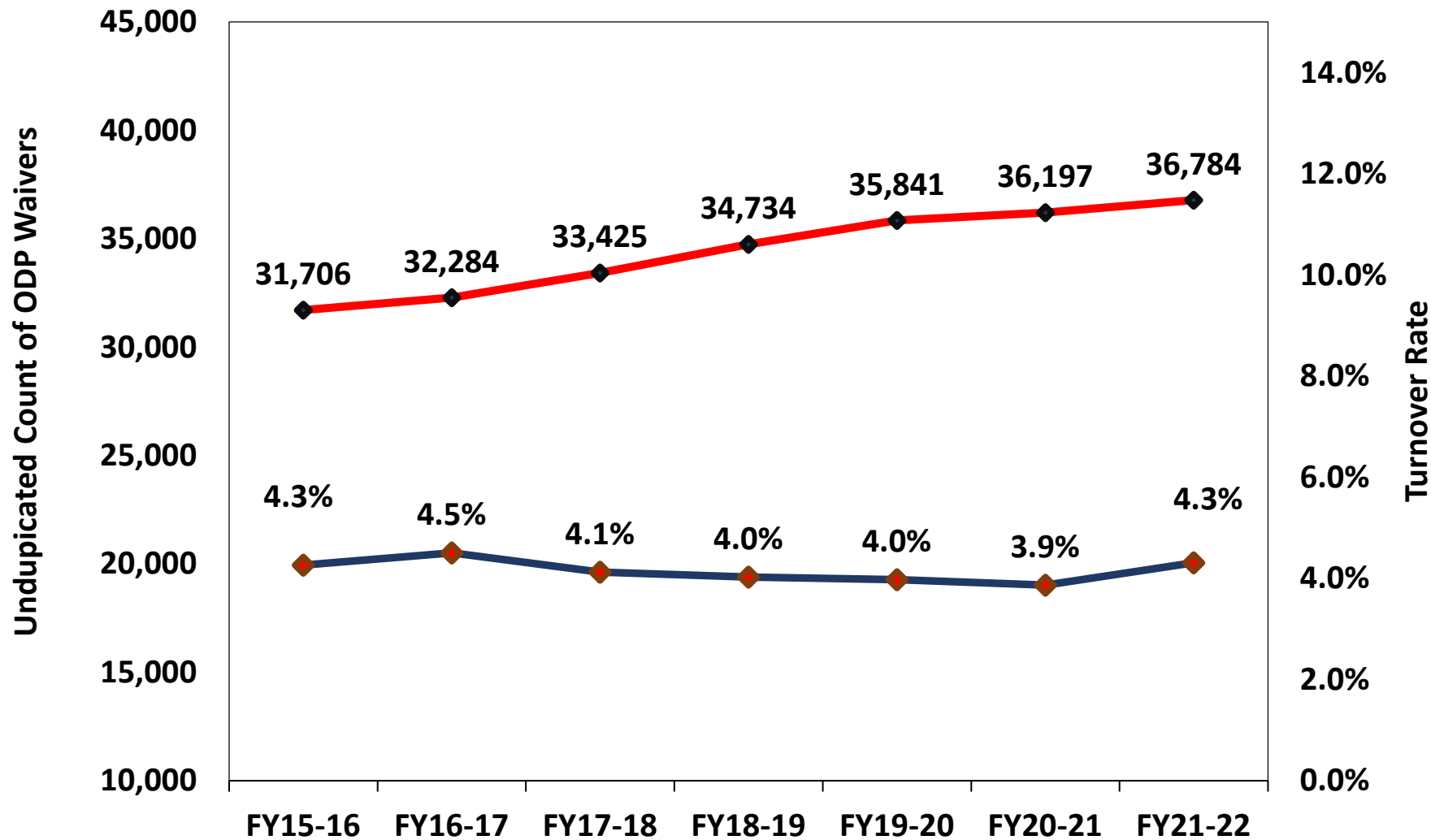


Multi-Year Program Growth Strategy

- **Additional waiver capacity** to the Community Living and Consolidated waivers
 - 1,650 additional adults enrolled in spring FY23-24
 - 1,500 waiver capacity FY24-25 budget released to AEs
- **Altering the management** of waiver capacity to serve more people.
- Strong foundation in success of High School Graduate initiative that began in 2018

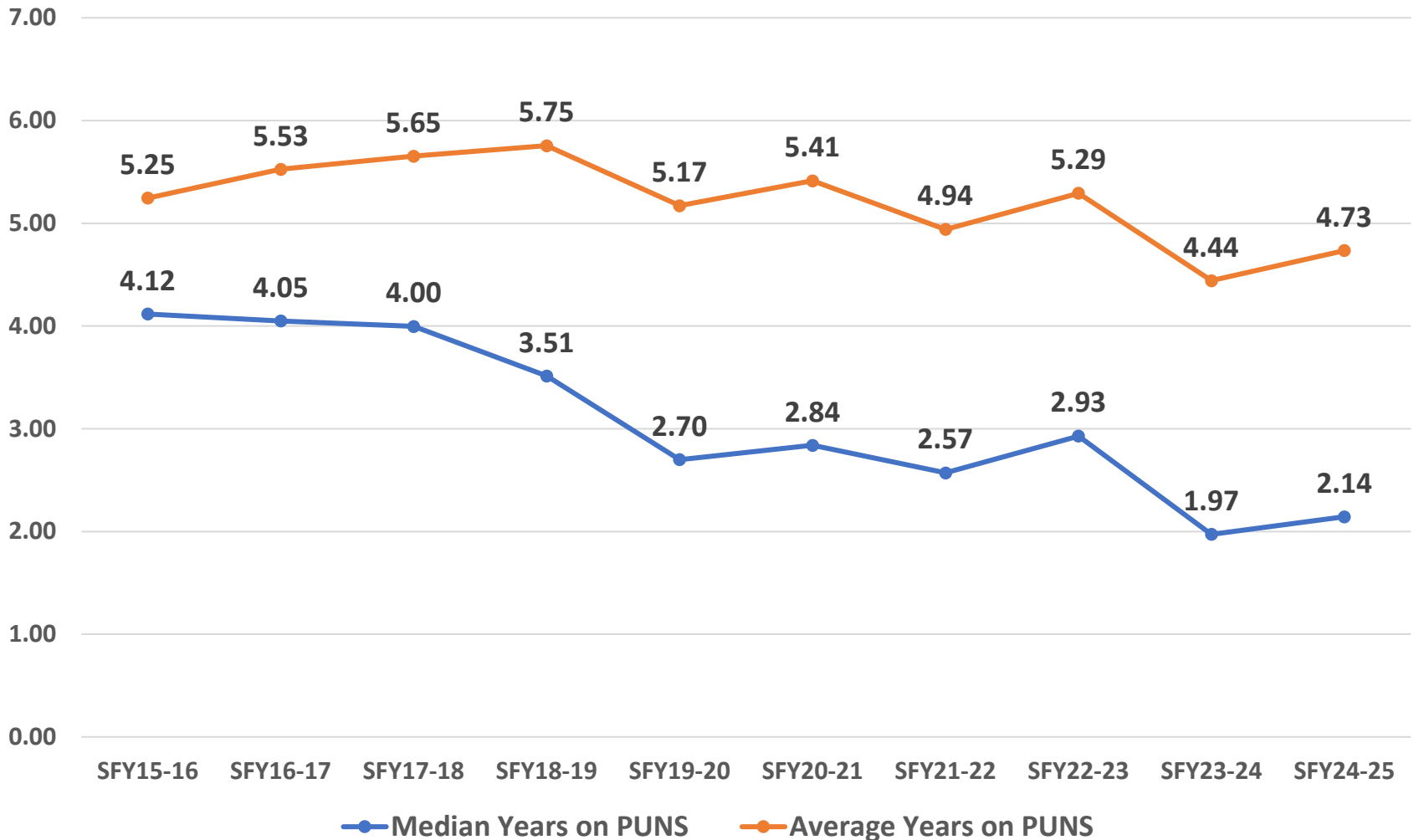


ODP 1915(c) HCBS Waiver Enrollment and Turnover Rate *

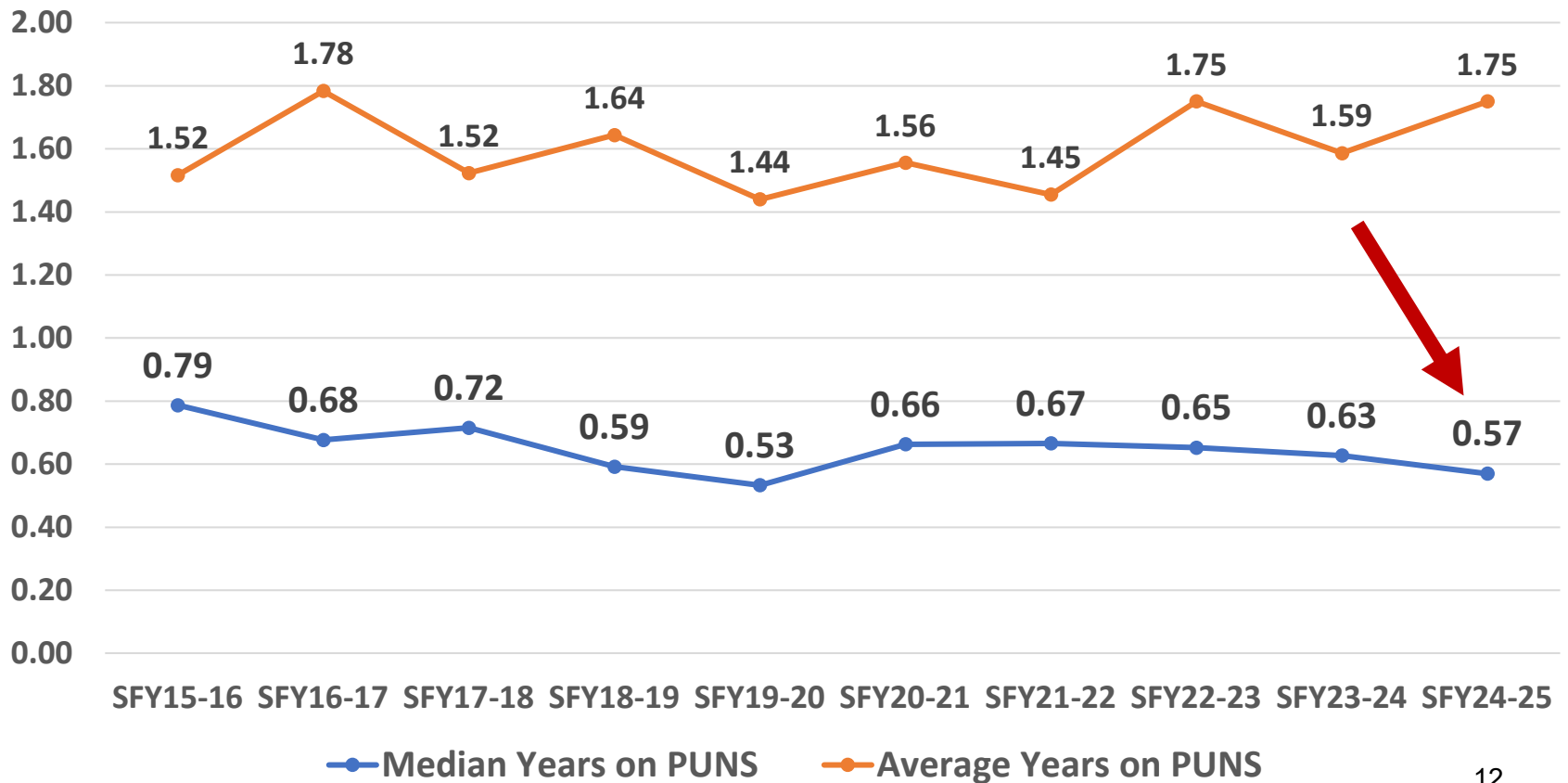


*: Included waivers are Consolidated, P/FDS. Community Living and Adult Autism Waivers; Turnover refers to individuals no longer in any ODP 1915(c) HCBS waiver after waiver end-dated

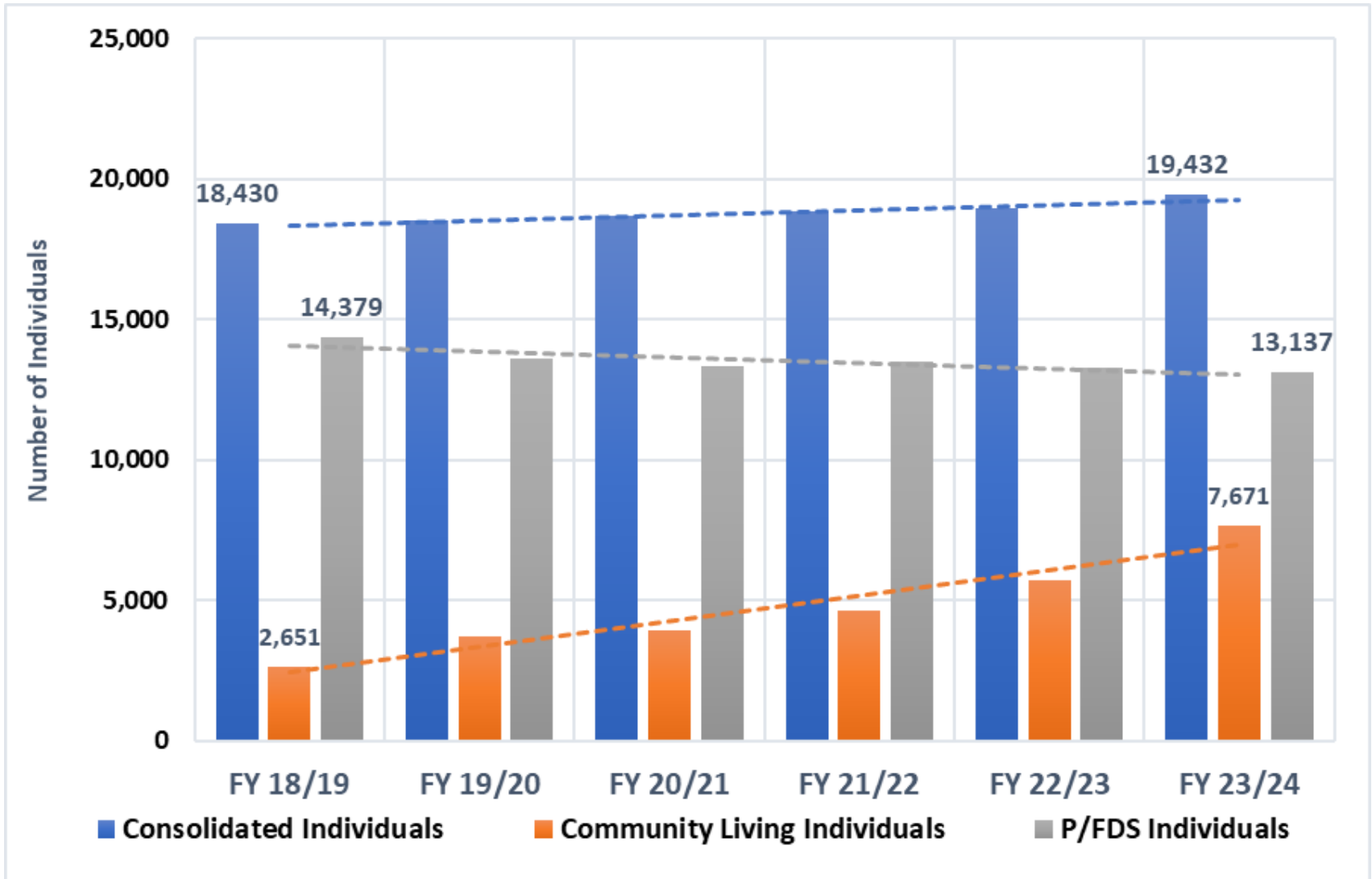
Median & Average Years ALL AGES on Waiting List



Median & Average Years on Waiting List Age 21+ Emergency Category



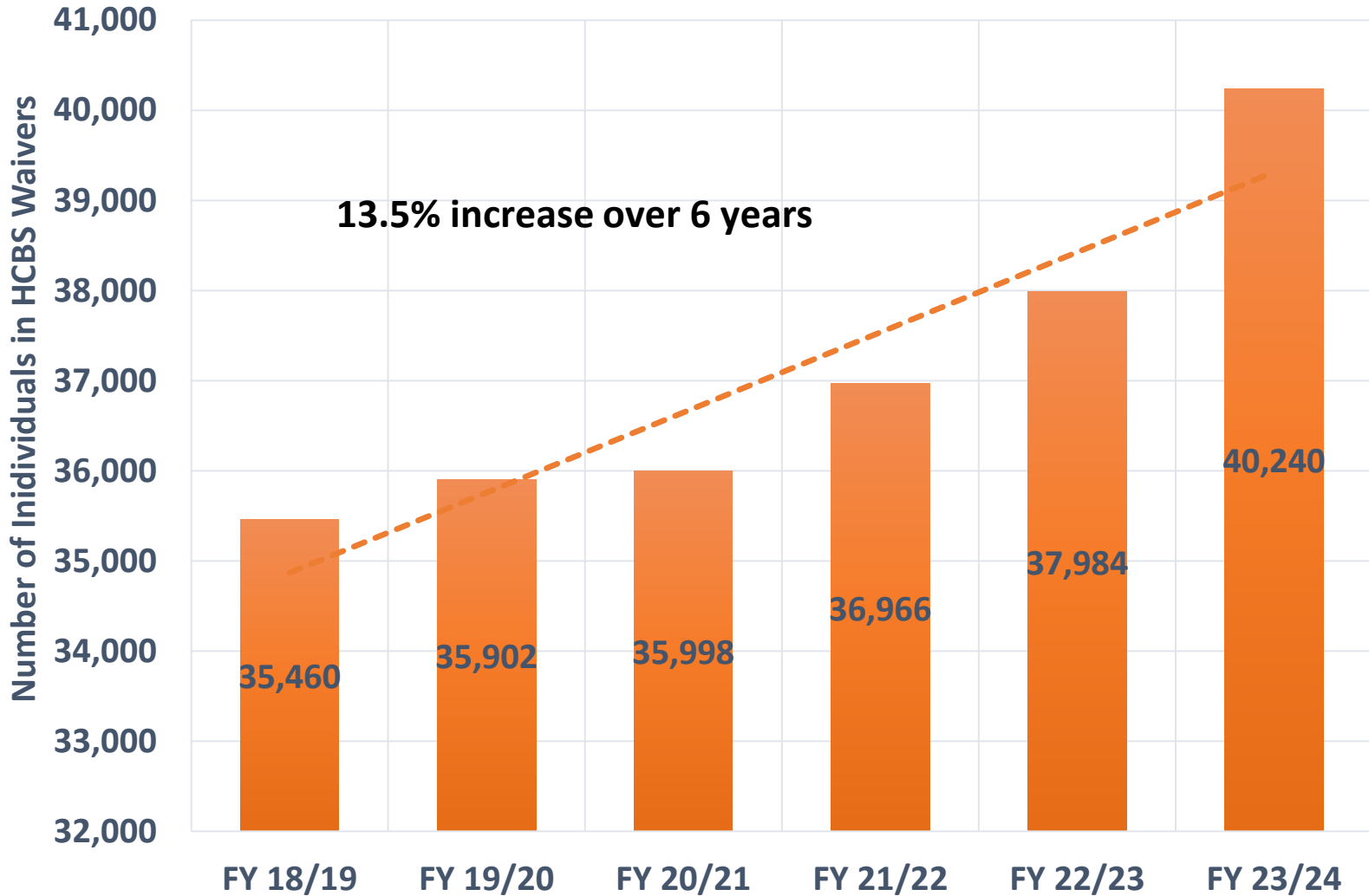
**Participants in each ID/A waiver
FY18-19 through FY23-24 Trending**
All FY Snapshot data pulled 6/30



Participants in ID/A waivers

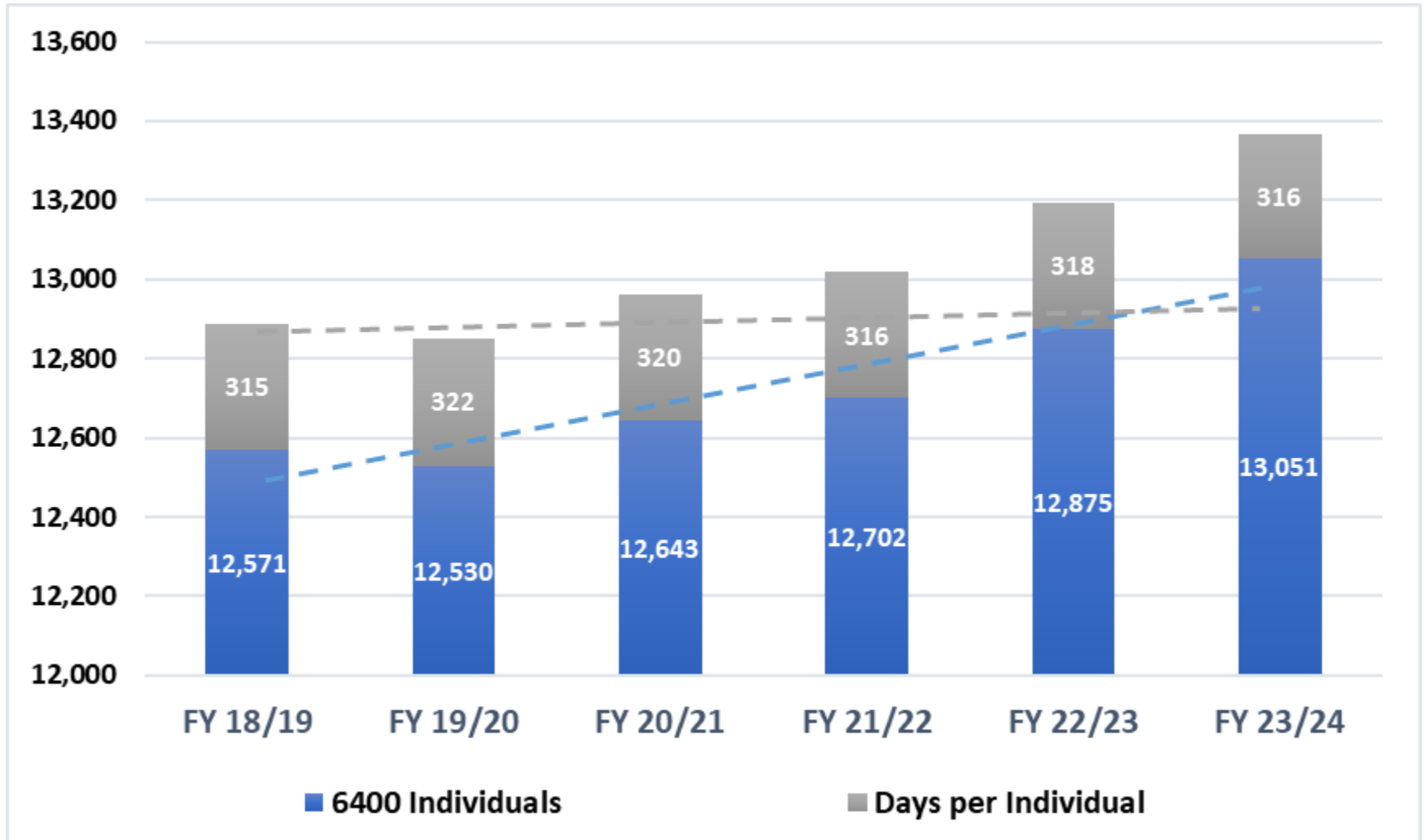
Total Enrollment FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



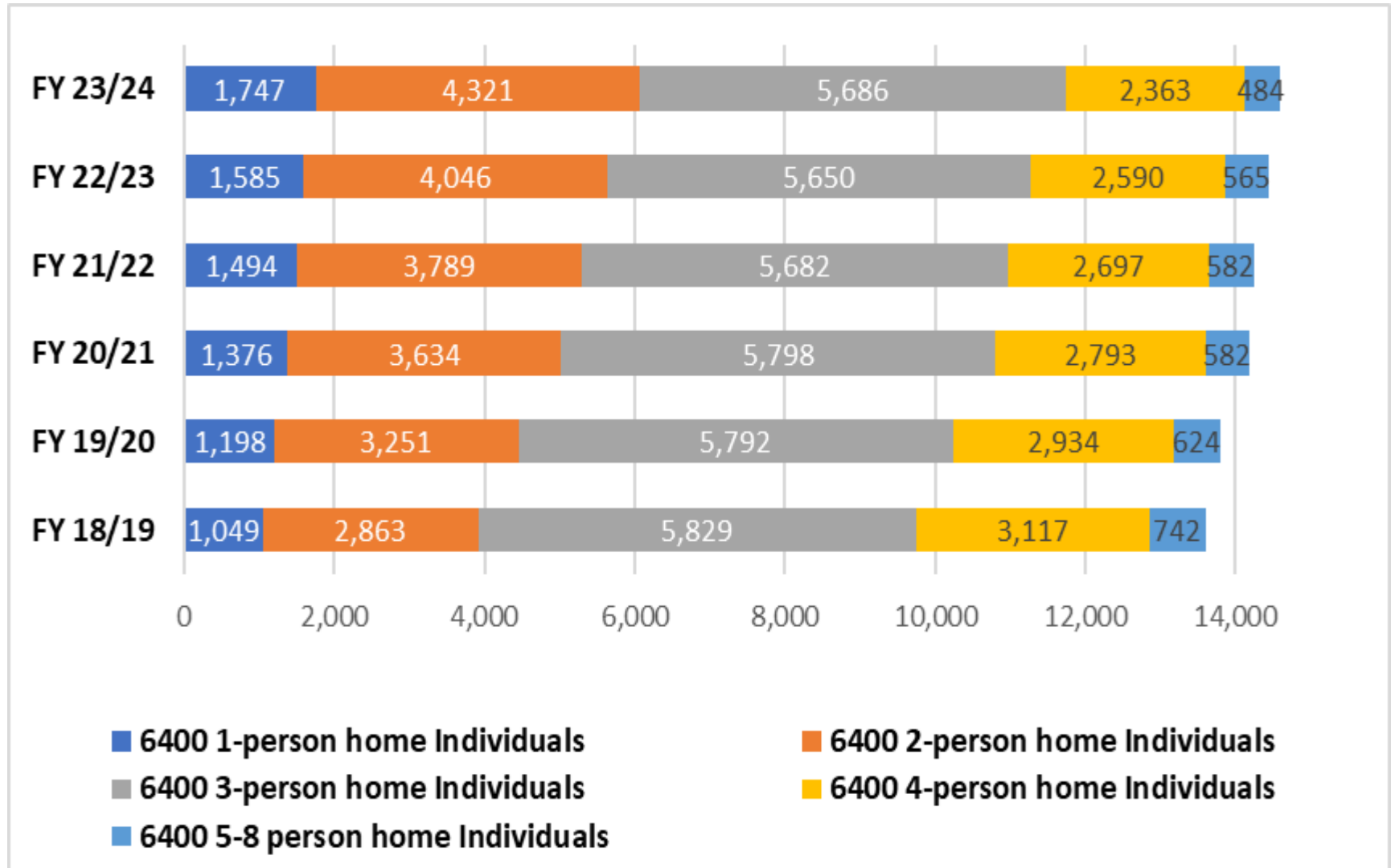
Participants in Residential Habilitation in Consolidated Waiver FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



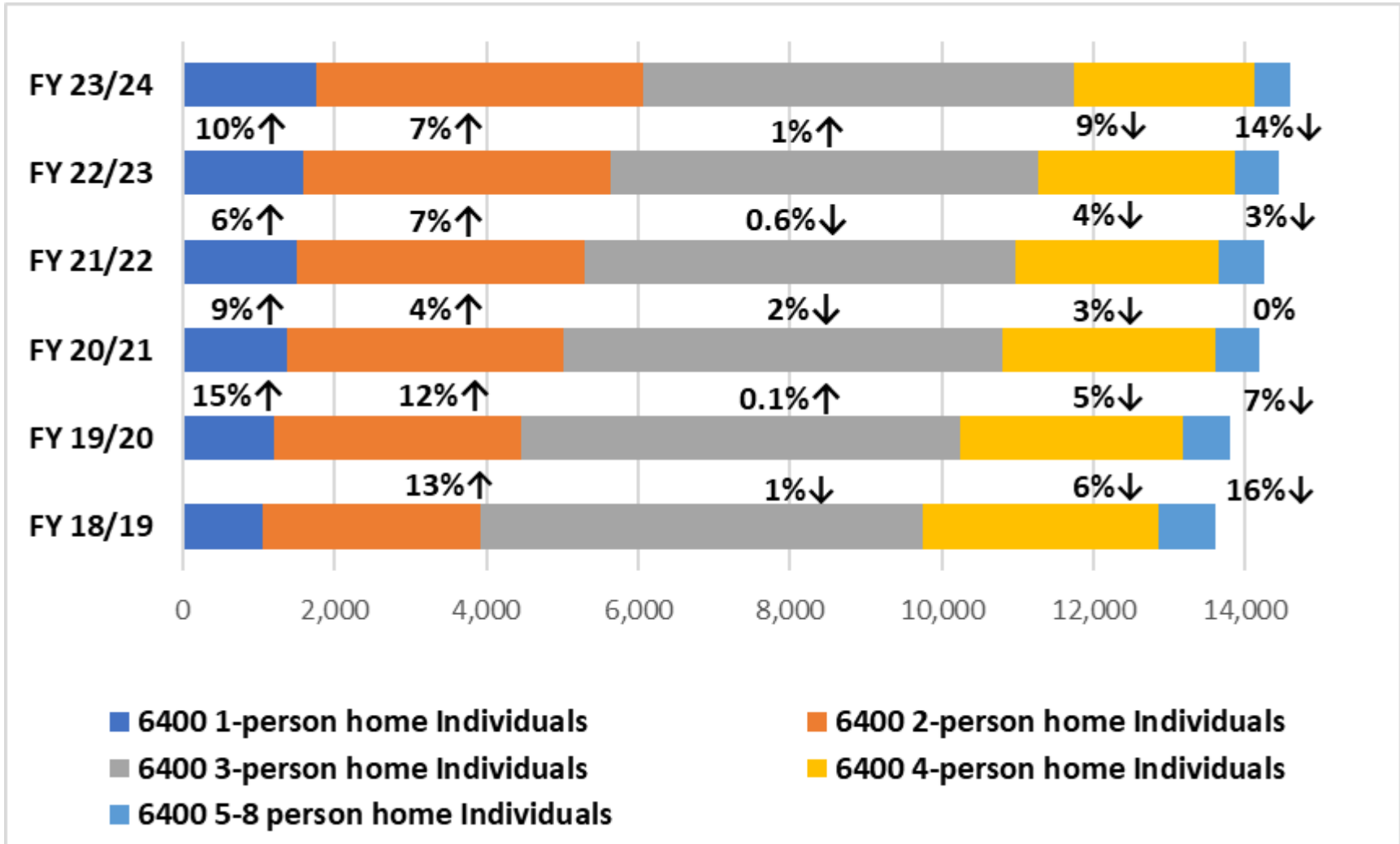
Individuals Receiving Residential Habilitation by Home Size FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



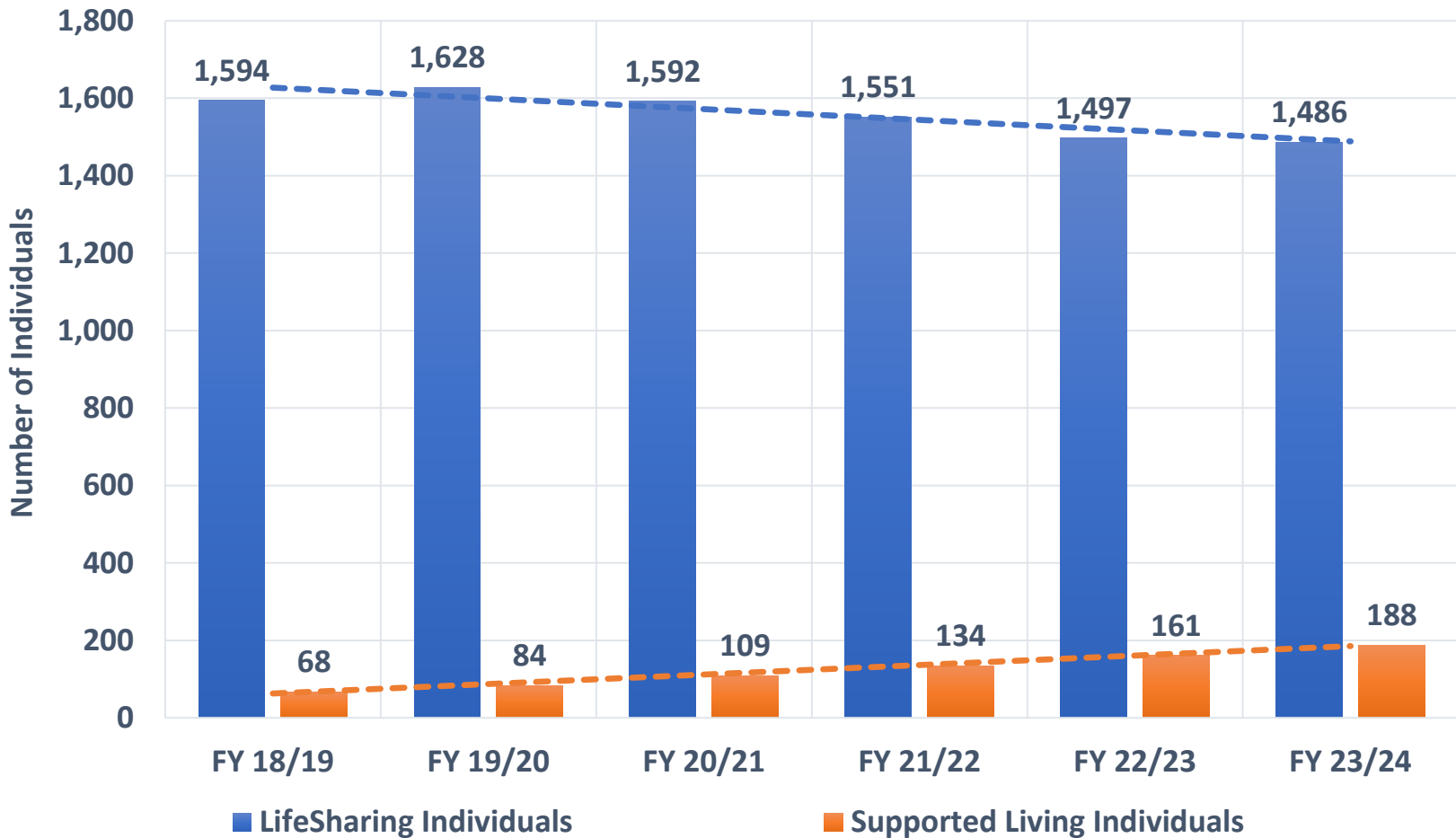
Individuals Receiving Residential Habilitation by Home Size FY18-19 through FY23-24 Year-to-Year Trend

All FY Snapshot data pulled 6/30



Individuals Receiving Lifesharing and Supported Living FY18-19 through FY23-24

All FY Snapshot data pulled 6/30

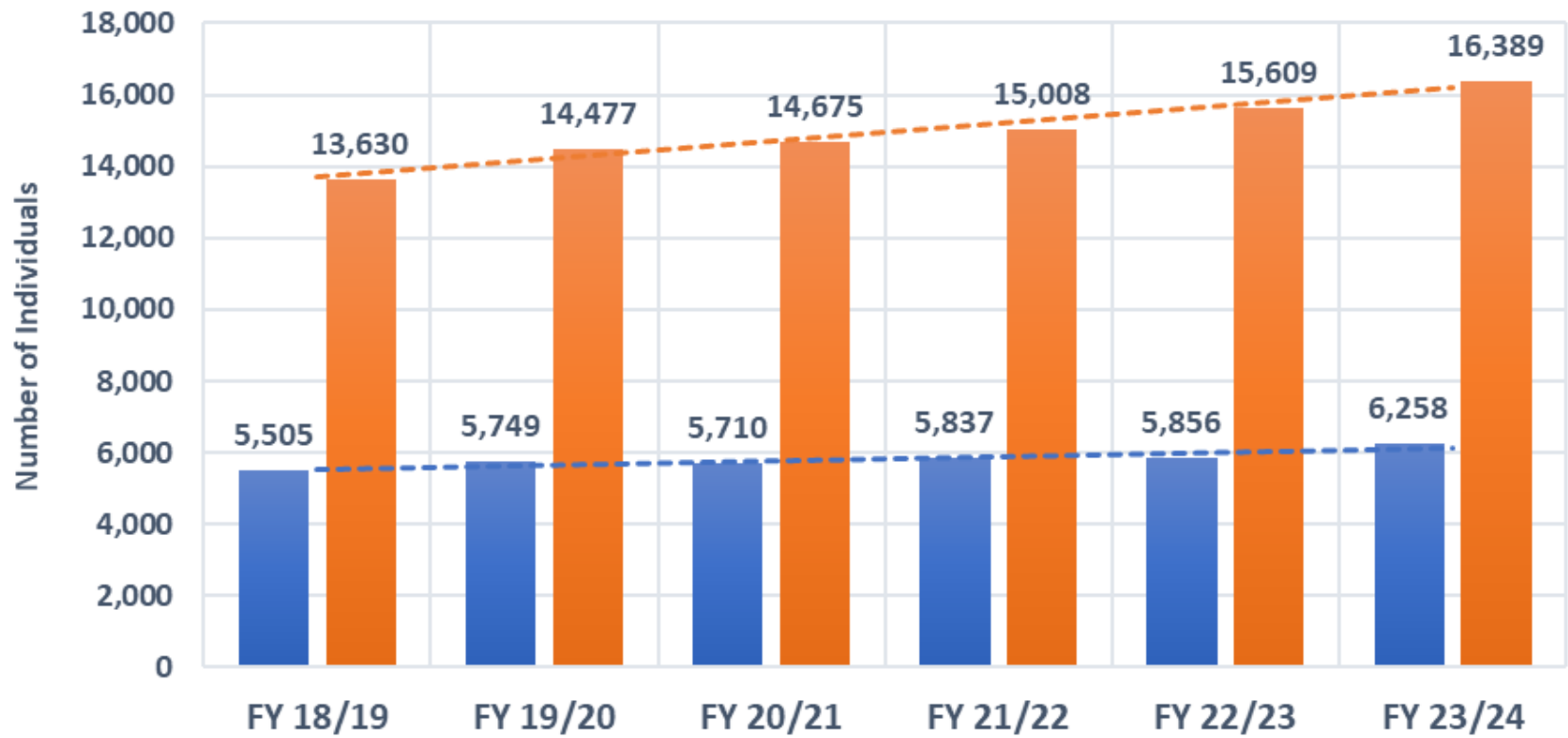


Individuals Receiving IHCS and Companion Services in ID/A Waivers FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



Individuals Receiving IHCS or Companion Services



■ Companion Individuals
14% increase over 6 years

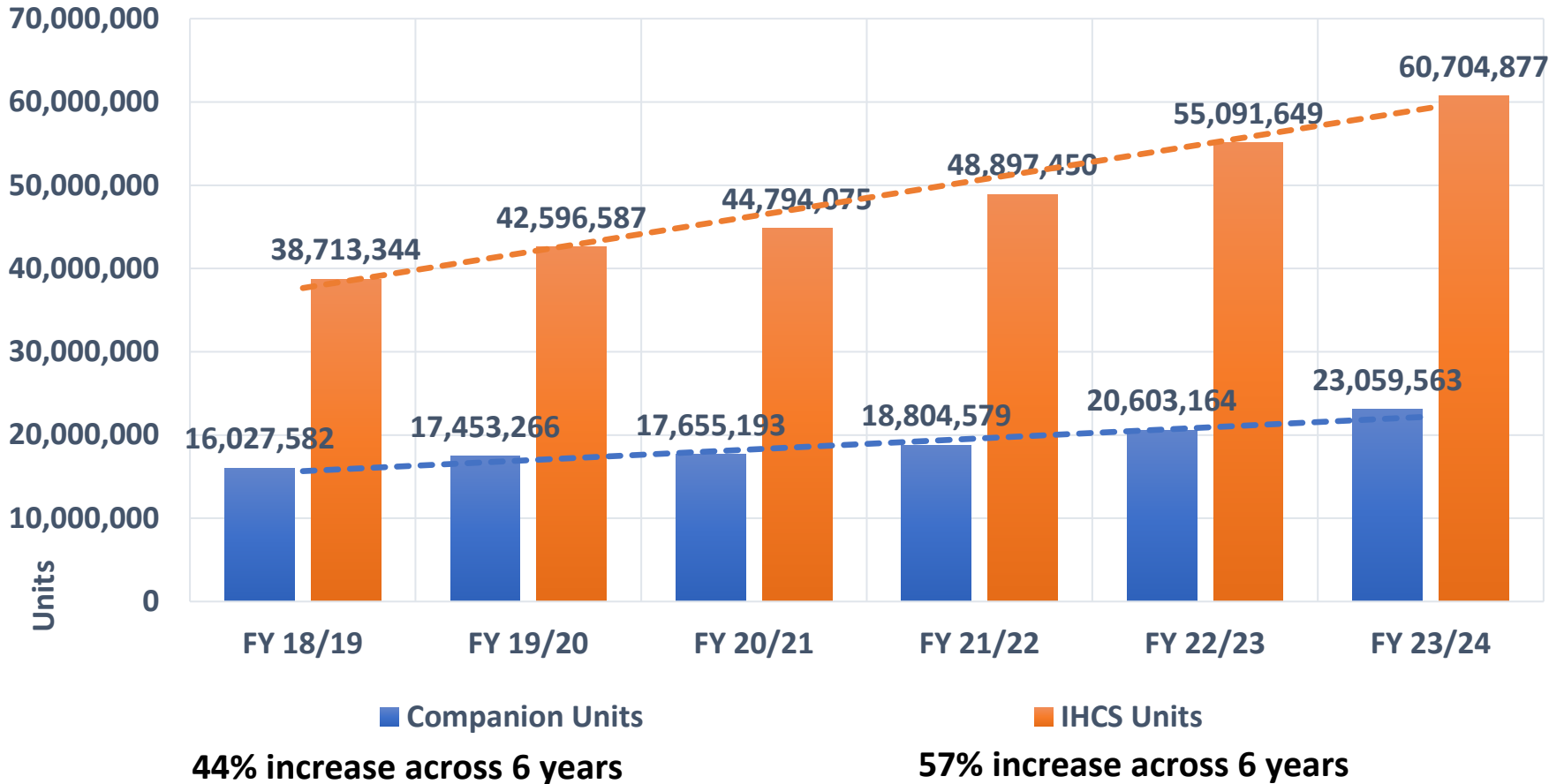
■ IHCS Individuals
20% increase across 6 years

Total Units IHCS and Companion Services in ID/A Waivers FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



IHCS and Companion Units



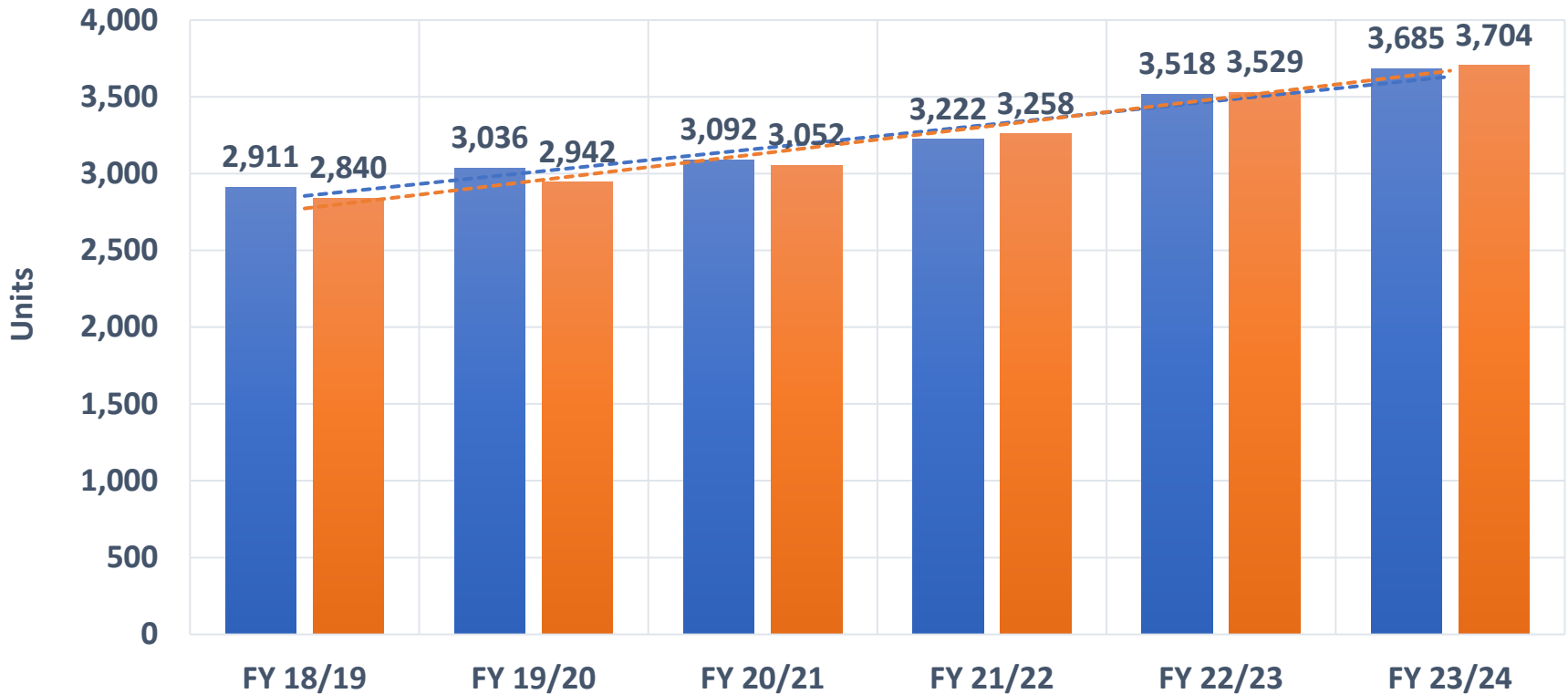
Average Yearly Units Used by Individual IHCS and Companion Services in ID/A Waivers

FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



IHCS and Companion Units/Individual Utilized



■ Companion Units/Individual Utilized
26.6% increase across 6 years

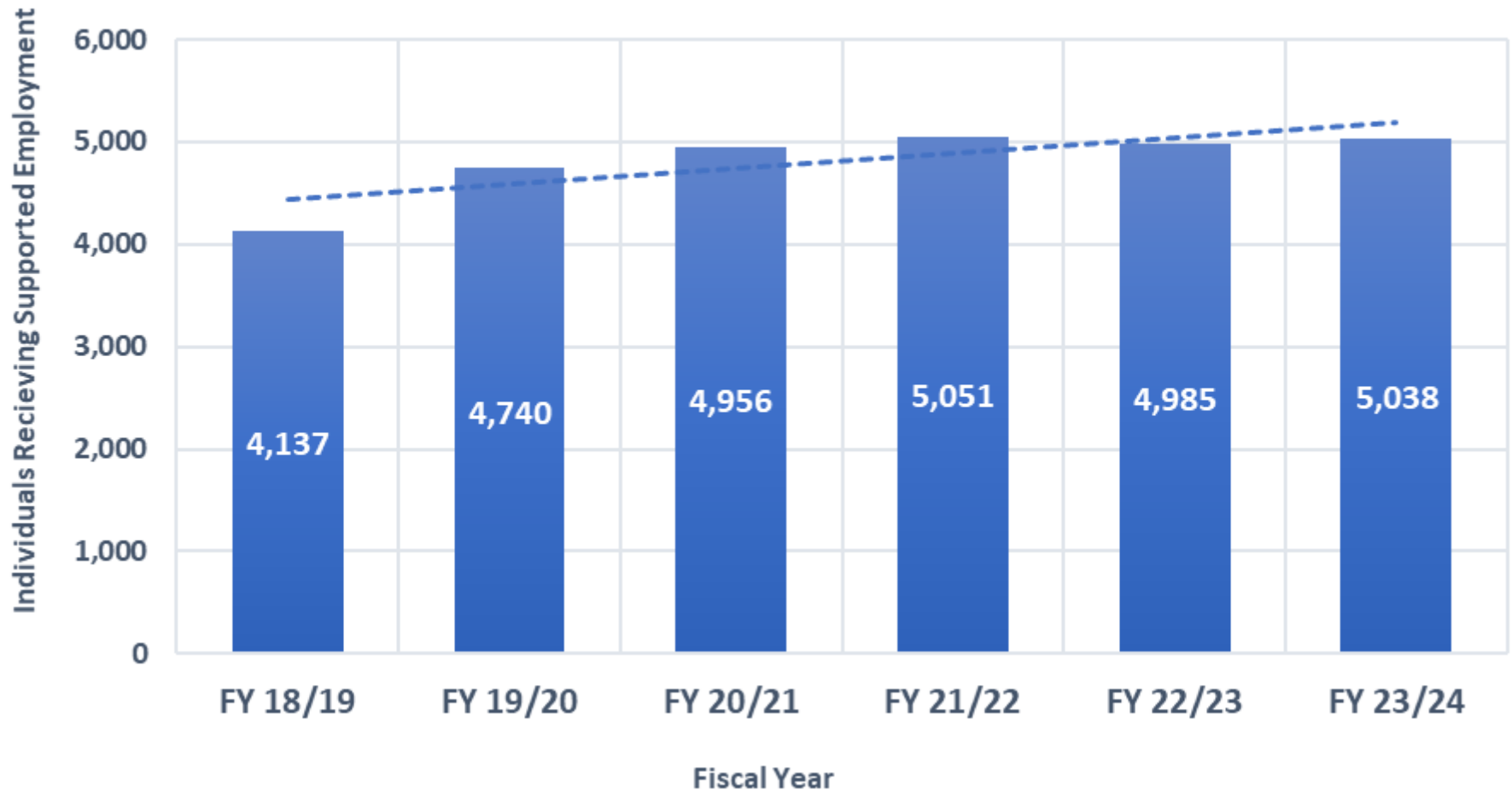
■ IHCS Units/Individual Utilized
30% increase across 6 years

Individuals Receiving Supported Employment Services in ID/A Waivers FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



Supported Employment Individuals

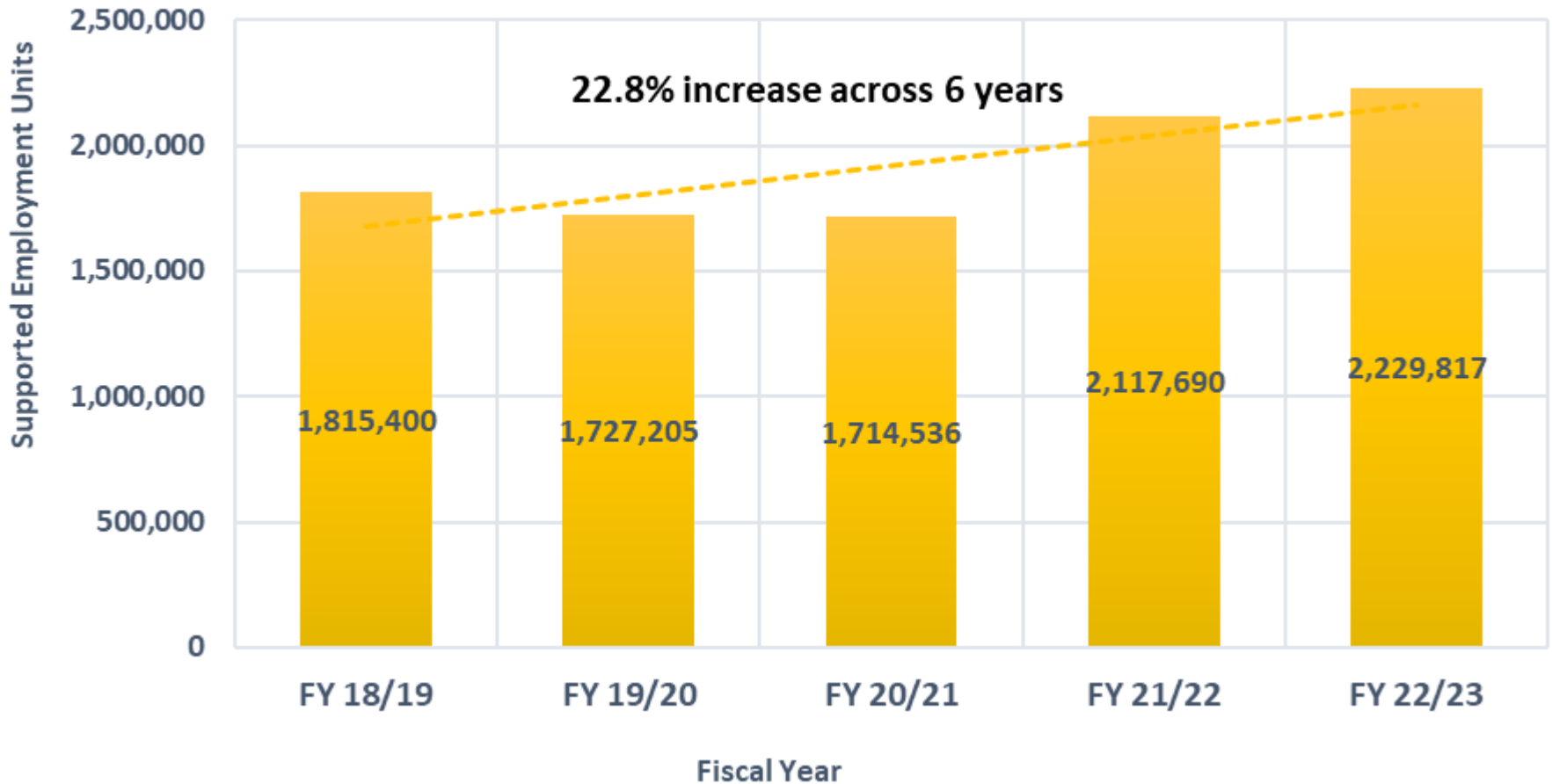


Total Units Utilized Supported Employment Services in ID/A Waivers FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



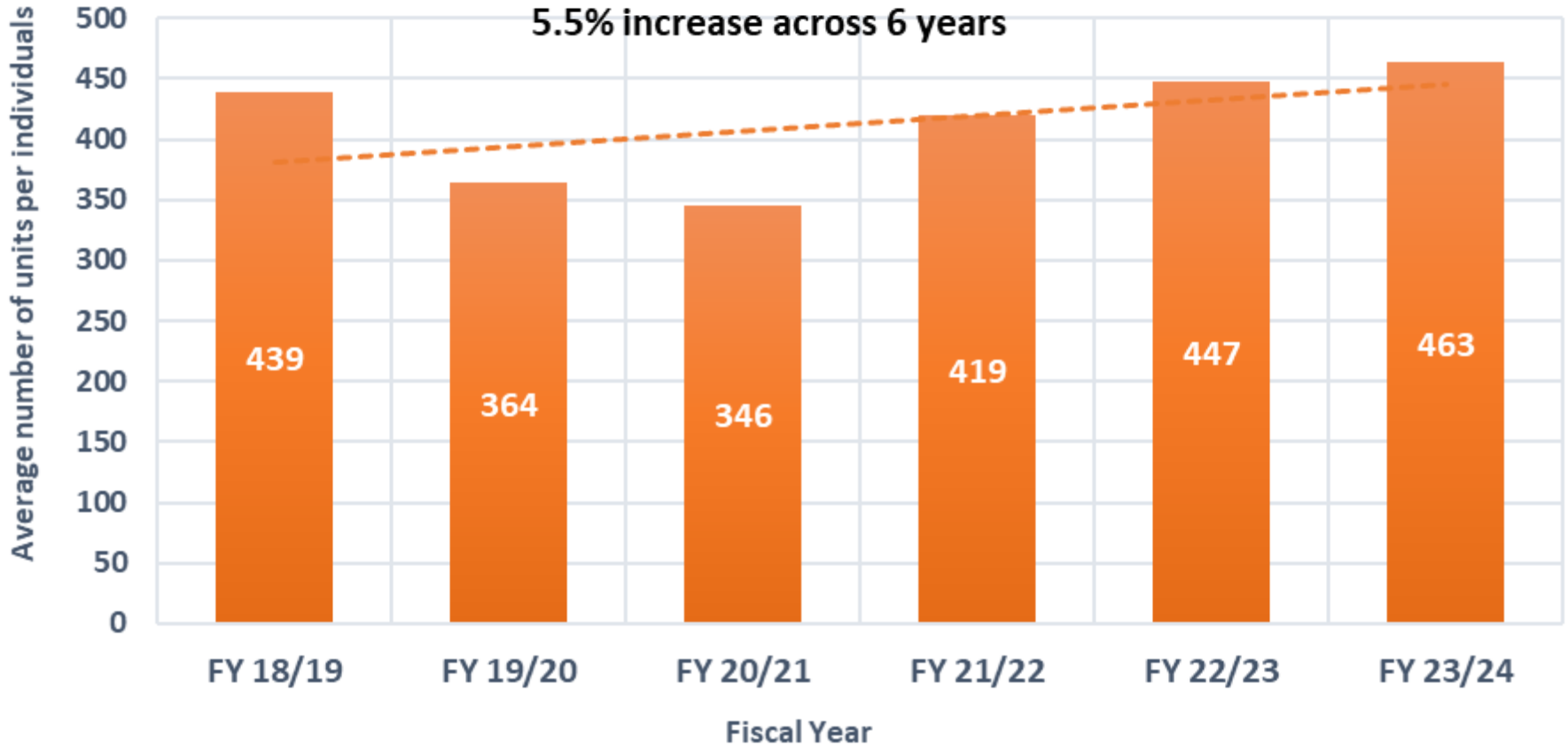
Supported Employment Units



**Average Yearly Units Used by Individual Supported
Employment Services in ID/A Waivers
FY18-19 through FY23-24
All FY Snapshot data pulled 6/30**

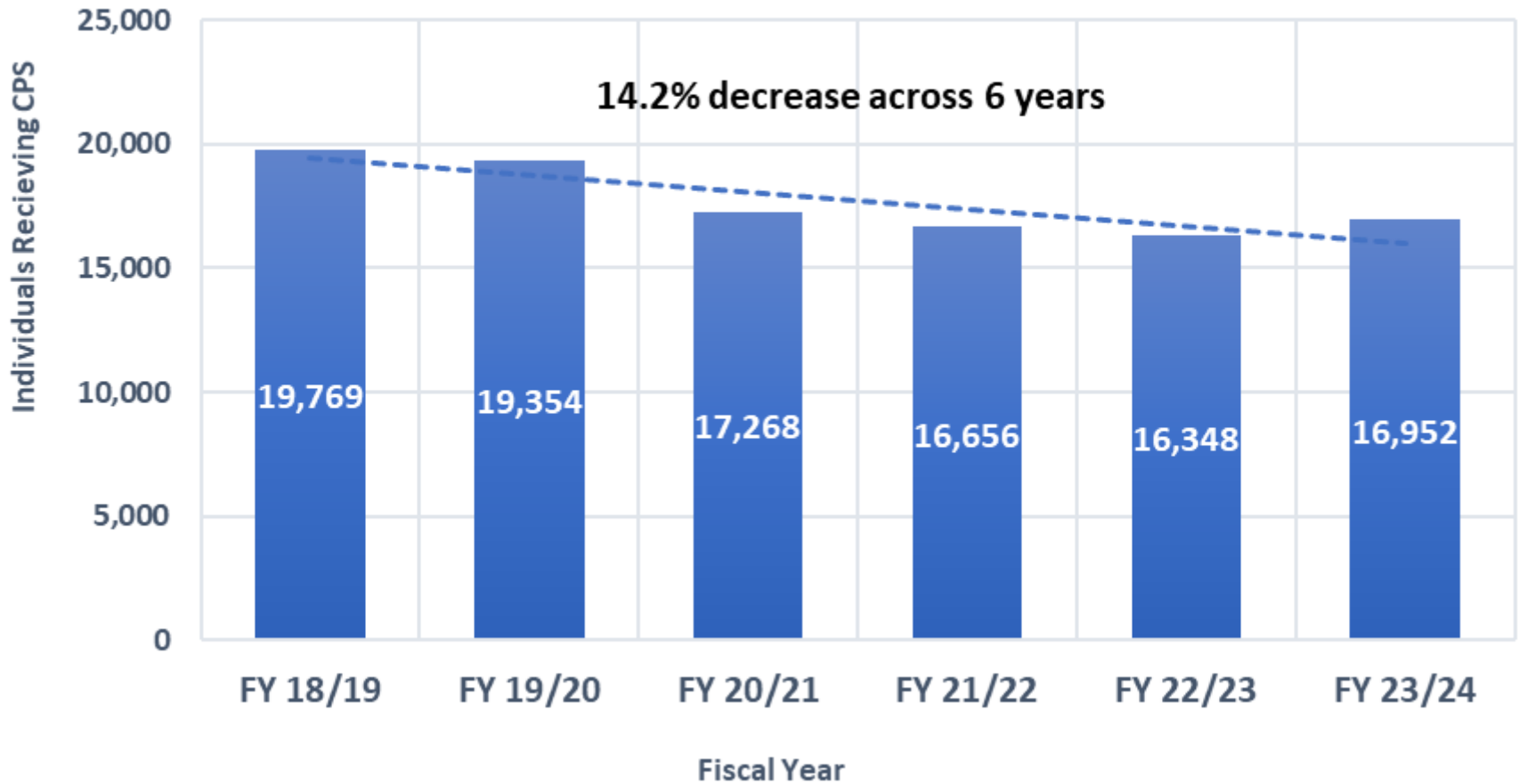
Employment Units/Individual Utilized

5.5% increase across 6 years



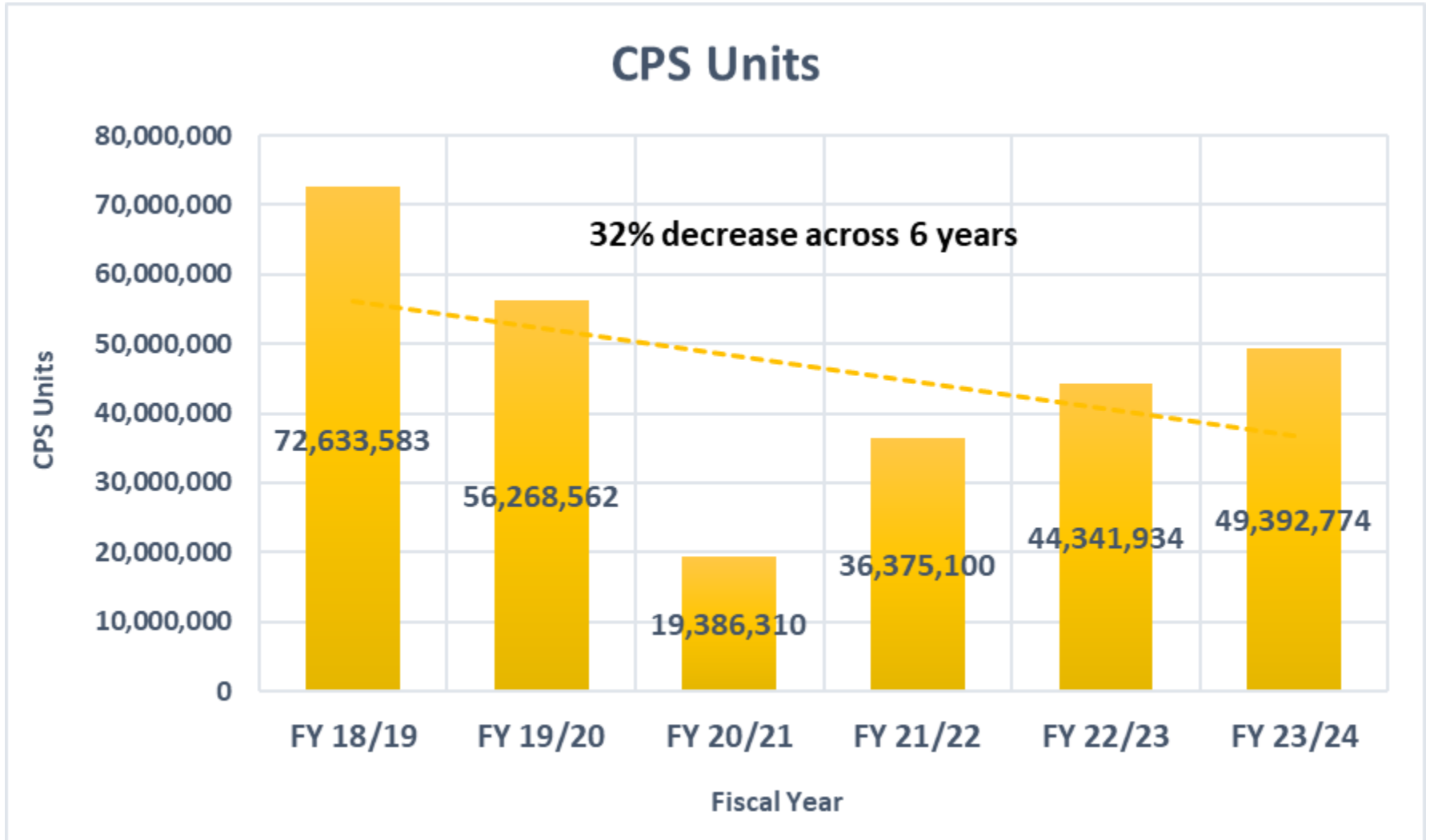
Individuals Receiving Community Participation Support Services in ID/A Waivers FY18-19 through FY23-24
All FY Snapshot data pulled 6/30

CPS Individuals



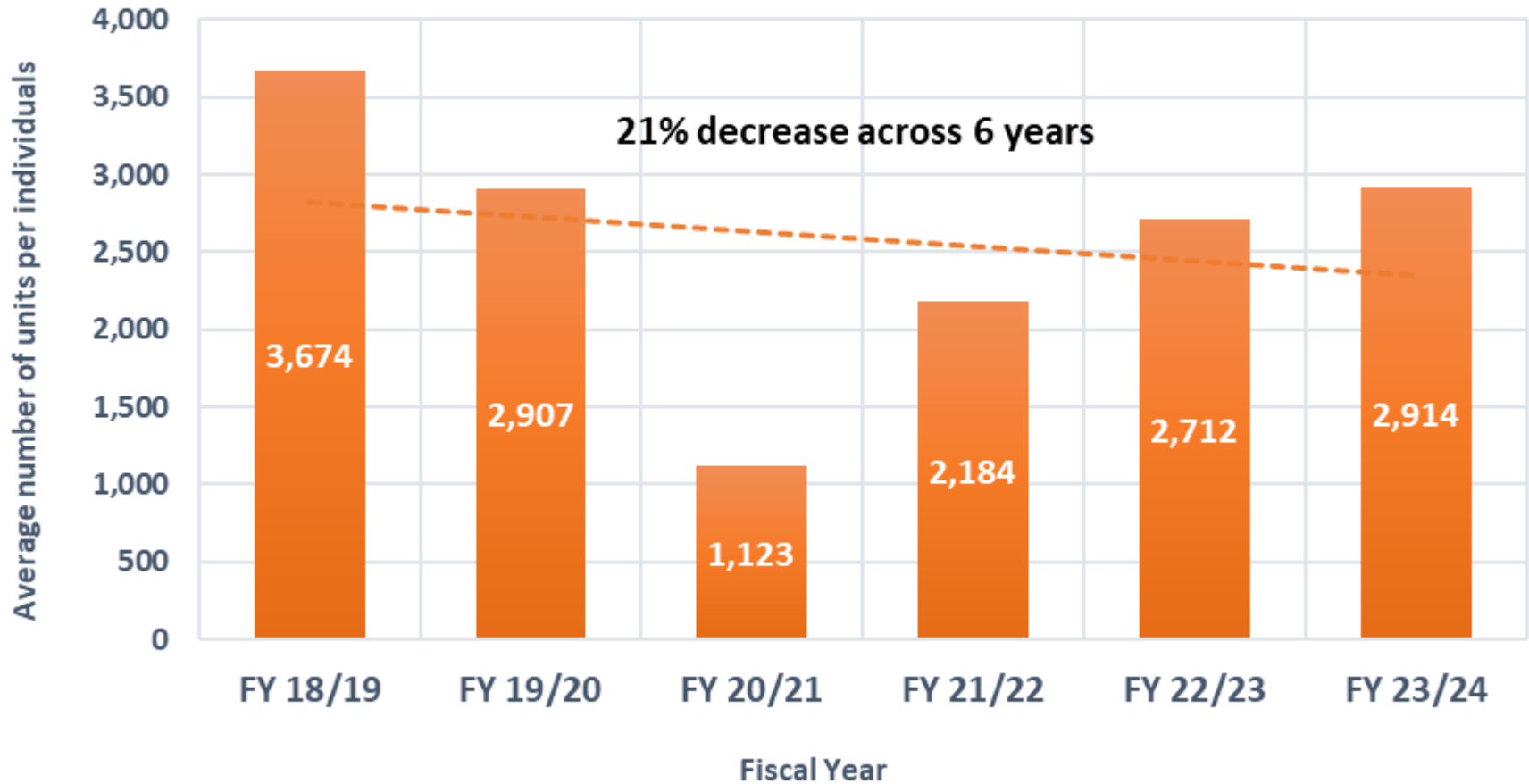
Total Units Utilized Community Participation Support Services in ID/A Waivers FY18-19 through FY23-24

All FY Snapshot data pulled 6/30



**Average Yearly Units Used by Individual Community
Participation Support Services in ID/A Waivers
FY18-19 through FY23-24
All FY Snapshot data pulled 6/30**

CPS Units/Individual Utilized



AE Readiness and Program Growth Protocol

AE Readiness Review for Program Growth Strategy

AE will need to demonstrate readiness to implement new management practices. Measures to determine will include such areas as:

- AE staffing
- Operating Agreement compliance
- Policy/protocol for internal controls related to ISP review and service authorization
- Utilization reviews
- Utilization versus authorization
- Average days of vacant waiver capacity
- AE Dashboard usage
- Base utilization practices (carryover)
- # of individuals on Emergency PUNS and enrolled in CW
- Fiscal and program process and procedures & internal controls
 - Data sharing across fiscal/program – routine joint reviews

AE Readiness Criteria

| Standard | Measure | Details |
|---|---|--|
| AE staffing | AE has sufficient staffing to implement growth strategy successfully | Demonstrated by assignment of at least two staff who are responsible for waiver capacity management, including representatives for program and fiscal management |
| Operating Agreement & Waiver Compliance | The AE is compliant with the AE Operating Agreement, established waiver expectations and other ODP communications/guidance. | No current AE DCAP or sanctions |
| Utilization Reviews | AE has an established protocol for completing utilization reviews. | AE will submit current protocol used to conduct utilization reviews. Attest to adoption of the future statewide AE standardized tool once finalized by PACA. |
| Monthly performance monitoring | AE has established protocol for reviewing data monthly. | AE will submit protocol for how Multi-Year Growth Strategy standards and measures are monitored. |

AE Readiness Criteria Cont'd

| Standard | Measure | Details |
|---|--|--|
| Percentage of utilization/authorization | AE meets average utilization expectations | <p>AE will have a plan to meet the following authorization/utilization standards by 12/31/25:</p> <ul style="list-style-type: none"> Residential utilization percentage is 90% or greater. Community Participation Support utilization percentage is 80% or greater. |
| Average days of vacant waiver capacity (CW & CLW) PFDS Capacity Management | AE efficiently manages waiver capacity | <p>AE will track timeliness of waiver capacity management by measuring the vacancy date and intent to enroll date.</p> <p>Timely reserved capacity/intent to enroll for graduates.</p> <p>Track and analyze data on number of days waiver capacity remains vacant across waivers and by waiver</p> |
| ISP review and service authorization | AE has established process for reviewing ISPs and services to ensure services are authorized in accordance with identified needs, waiver expectations and budget impact. | AE will submit policy/protocol for process review for internal controls for ISP review and service authorization |
| Timely PUNS Management | AE ensures PUNS is updated timely when an individual is enrolled in waiver. | <p>AE will meet the following standards:</p> <ul style="list-style-type: none"> Number of individuals on Emergency PUNs and enrolled in CW is zero (0) Individuals enrolled in waiver have PUNS updated within 30 days. Protocol on engaging with SCOs on a regular basis to ensure accurate PUNS and information sharing to determine emergent individuals on waiting list |

AE Readiness Criteria Cont'd

| Standard | Measure | Details |
|-------------------------------|--|---|
| Data Management | AE will use all budget management tools available to them, including the AE dashboard. | AE will log into and use the AE dashboard at least once per month. |
| Base utilization practices | AE will ensure oversight of base spending in accordance with their county plan. | The AE has plan to address and use carryover. |
| Comparison to proposed budget | AE conducts budget analysis to identify trends and budget impacts. | Budget analysis using the data including utilization vs authorization patterns by service type, predicable budget trends and impacts to the overall AE budget. ODP will provide the statewide trends in order for AEs to compare to their data. |

AE Readiness Protocols Needed

- Current Utilization Review Protocol
- Multi-Year Program Growth Strategy Monthly Monitoring of Standards/Measures Protocol
- ISP review Approval and Authorization Protocol
- Engagement with SCO Protocol

Annual Waiver Capacity Commitment

- Each FY, after the budget is enacted, ODP will review and adjust each AE's budget and capacity in accordance with the approved state budget.
- The allocated waiver capacity commitment cannot be exceeded or modified without the approval of ODP.
- AEs may enroll individuals in the Waivers up to the available waiver capacity for each Waiver and as per the waiver capacity commitment and the requirements outlined in the current AE Operating Agreement.
- The AEs continue to be responsible for ensuring that individuals needing services are enrolled in the Waivers when there is available capacity.

AE Budget and Capacity Adjustments

- **On a quarterly basis**, AEs are able to submit requests to move capacity.
- AEs will have the option to **request to add or transfer waiver capacity** between the Consolidated, Community Living and Person Family Directed waivers.
- AEs must confirm with data that they have reserved sufficient capacity to **meet the needs of High School graduates and individuals aging out of EPSDT** per the reserved capacity criteria in the approved waivers

Adjustment Types

| TYPE | ADJUSTMENT |
|--|---|
| Individual transfers between AEs | <ul style="list-style-type: none"> ○ Actual cost will be adjusted appropriately to both sending and receiving AE ○ Capacity will be transferred from sending capacity to receiving county |
| Unanticipated Emergencies | <ul style="list-style-type: none"> ○ Statewide Average cost with allowable requests for exceptions ○ New capacity allocated |
| New Capacity provided by ODP under reserved capacity criteria in Consolidated and Community Living Waivers (except UAE) | <ul style="list-style-type: none"> ○ Statewide Average cost ○ New Capacity allocated |
| New capacity allocated per enacted FY budgets | <ul style="list-style-type: none"> ○ Statewide Average cost ○ New Capacity allocated |
| New Capacity within the AE's allocated budget | <ul style="list-style-type: none"> ○ Statewide Average Cost ○ New Capacity Requested and Approved By WCM |

AE Capacity Request Criteria

- Description of the AE's request (AE is requesting # of Consolidated, CLW or PFDS capacity)
 - AE's total allocated budget in dollars
 - Total Authorized in dollars
 - Total Utilized in dollars
 - Estimated Available Budget in dollars
- How the requested new program growth capacity is within available AE Waiver Budget
- In the future, How the requested capacity moves are budget neutral or cost saving
- Budget impact for any capacity transfers, Unanticipated Emergencies or other new capacity provided to the AE
- Analysis on how the AE made the determination, including proposed capacity changes requested amount of capacity/budget to be transferred

Suspension of Waiver Enrollment

ODP has the authority to suspend enrollments by an AE, by waiver program, or on a statewide basis, to ensure operating within budget authority and solvency when necessary or when sanctions have been imposed on a specific AE. The reasons that ODP may suspend enrollment include, but are not limited to:

- ODP is not in compliance with state and federal policies or regulations.
- AE is not in compliance with the AE Operating Agreement and federal policies or regulations.
- ODP's statewide budget is reduced.
- ODP is approaching the statewide budgetary and/or waiver capacity ceiling.
- **ODP analyzes utilization and determines that there are significant service increases that require detailed review or explanation.**

Monitoring and Reporting

- AE continues to ensure individual waiver eligibility and enrollment
- Works closely with the CAO
- Ensures HCSIS is current with individual's information
- Uses data to track waiver capacity utilization
- Ensure PUNS is accurate and updated

AE Operating Agreement & Multi-Year Program Growth Strategy

AE Operating Agreement – Waiver Capacity Management

Sections of the current Operating agreement applicable to Multi-year Program Growth Strategy related to capacity management

- 3.4 ID/A Waiver Capacity Management
 - 3.4.1 Waiver Capacity Commitment
 - 3.4.4 Reserved Capacity
 - 3.4.5 Management of Unanticipated Emergencies

AE Operating Agreement – Waiver enrollment

Sections of the current Operating agreement applicable to Multi-year Program Growth Strategy related to waiver enrollment:

- 6.3 Participant Enrollment in the ID/A Waivers
- 6.4 Support Needs List Management – PUNS
- 6.11 Consolidated Waiver Enrollment
- 6.12 P/FDS Waiver and Community Living Waiver Enrollment
- 6.13 Move and Transfer of ID/A Waiver Participants

AE Operating Agreement – ISPs, Fair Hearing and Quality Management

Sections of the current Operating agreement applicable to Multi-year Program Growth Strategy related to ISP review/authorization, Fair Hearing and Quality Management:

- 6.17 Individual Support Plans (ISPs)
- 7. Review, Approval and Authorization of ISPs and ID/A Waiver Services
- 7.4 Implementation of ISPs
- 7.5 Fair Hearing and Appeal
- 10. Quality Management (QM)

Using the AE Dashboard to Support Capacity Requests

AE Dashboard

Qlik ... Analyze Sheet Narrate Storytelling PA ODP Administrative Entity Ask Insight Advisor

Insight Advisor Fiscal Year 2024 Bookmarks Sheets Duplicate

Mercer Total Authorization and Utilization by Month

pennsylvania
DEPARTMENT OF HUMAN SERVICES

Most Recent Date: 06 - 2024

Waiver Type

Region

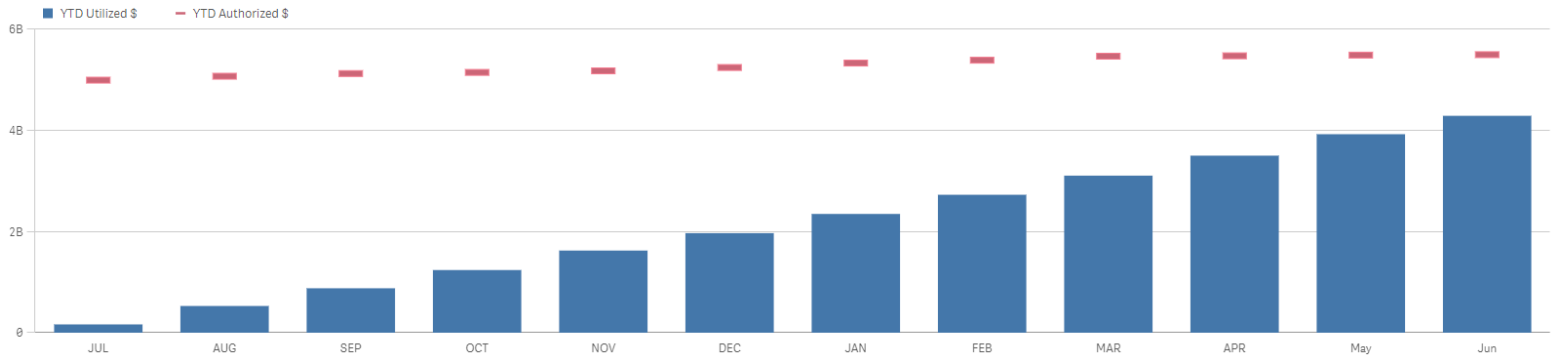
County Joinder

Fiscal Year

Fiscal Year 2024 - YTD Totals

| Total Allocated Budget | Total Authorized \$ | % Allocated Budget Authorized | Total Utilized \$ | % of Authorized Utilized |
|------------------------|------------------------------|-------------------------------|------------------------------|---|
| \$5.15 B | \$5.50 B | 106.85% | \$4.29 B | 78.01% |
| | Previous Year \$ \$5.12 B | | Previous Year \$ \$4.00 B | Previous Year % of Authorized 77.99% |
| | | | | Statewide % of Authorized 78.01% |

Fiscal Year 2024 Distribution by Month





Authorization and Utilization by Month Dashboard Page Overview

This dashboard displays year to date (YTD) authorization and utilization summary information through the data end date. On the left side of the page, users can filter by Waiver Type, Region (dependent on end user role access), and County Joinder (dependent on end user role access).













The page displays total allocated budget (\$), total authorization (\$), % of allocated budget authorized, total utilization (\$), and % of authorized amount utilized. Within the graph, the vertical bars display total utilization by month (YTD total at the end of the month). The horizontal lines represent total authorized amount by month. When hovering over the vertical bars and horizontal lines, tooltips will display additional information.

Data Last Refreshed:
11/08/2024


Sheets

Sheets Create new sheet  

▼ Public sheets (6)

| | | | | | |
|---|---|---|---|--|---|
|  |  |  |  |  |  |
| Total Authorization an...  | Total Authorization an...  | Average Authorization an...  | Average Authorization an...  | Needs Level Overview  | Capacity Management ...  |

▼ My sheets (0)



Create new sheet

Filters



Most Recent Date: 06 - 2024

Waiver Type

Region

County Joinder

Fiscal Year

Using filters on the left-hand side will change your Key Performance Indicators (KPIs) across the top and any data visualization on the sheet.

Total Authorization and Utilization by Service Category



Total Authorization and Utilization by Service Category

Fiscal Year 2024 - YTD Totals

Total Authorized \$
\$5.50 B

Previous Year \$
\$5.12 B

Total Utilized \$
\$4.29 B

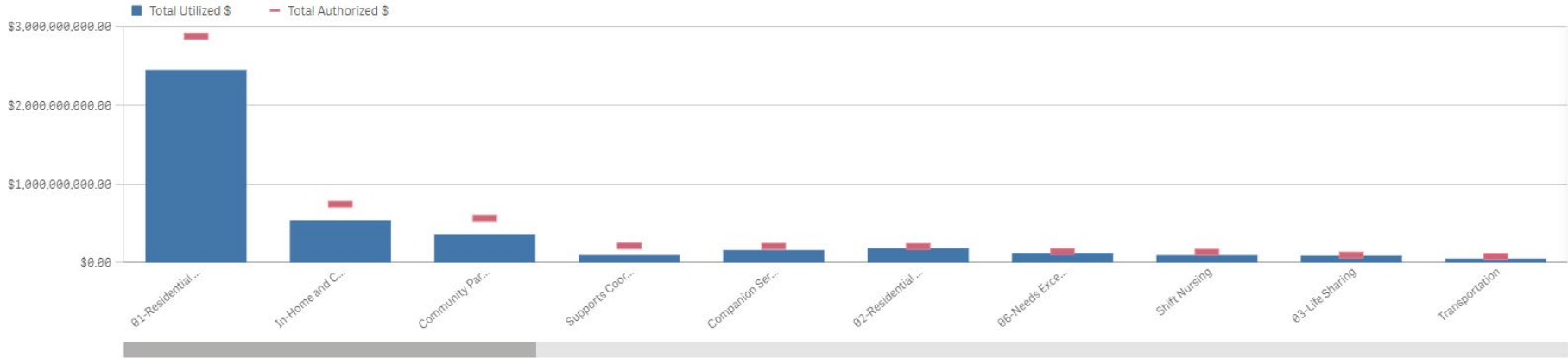
Previous Year \$
\$4.00 B

% of Authorized Utilized
78.01%

Previous Year % of Authorized
77.99%

Statewide % of Authorized
78.01%

Fiscal Year 2024 Distribution by Service Category



Average Authorization and Utilization by Month



Average Authorization and Utilization by Month < >

Fiscal Year 2024 - YTD Averages

Average Authorized \$
\$146,509.45

Average Utilized \$
\$114,291.78

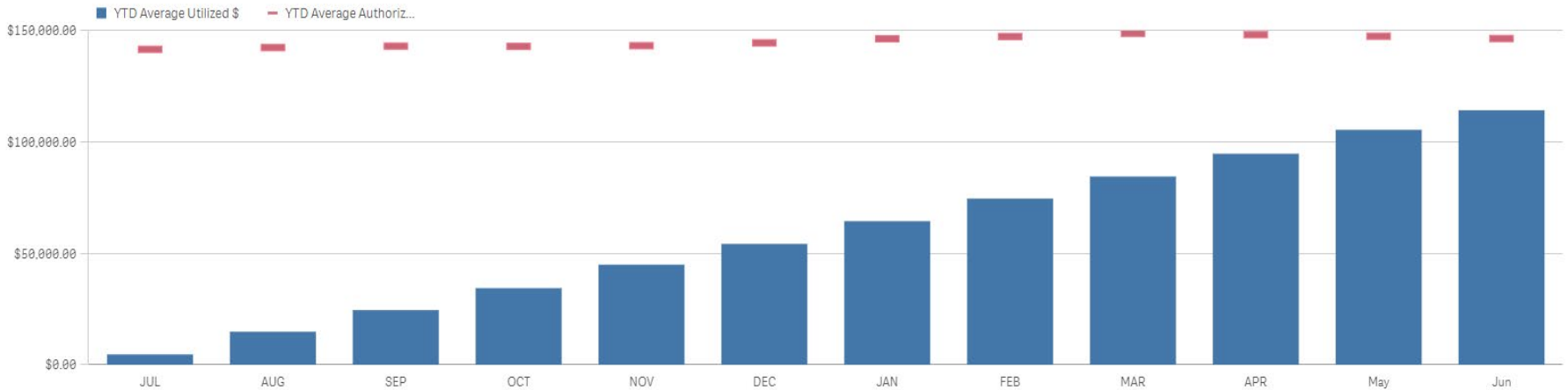
Previous Average Authorized \$
\$140,475.03

Statewide Average Authorized \$
\$146,509.45

Previous Average Utilized \$
\$109,556.98

Statewide Average Utilized \$
\$114,291.78

Fiscal Year 2024 Distribution by Month



Average Authorization and Utilization by Service Category



Average Authorization and Utilization by Service Category < >

Fiscal Year 2024 - YTD Averages

Average Authorized \$
\$146,509.45

Average Utilized \$
\$114,291.78

Previous Average Authorized \$

\$140,475.03

Statewide Average Authorized \$

\$146,509.45

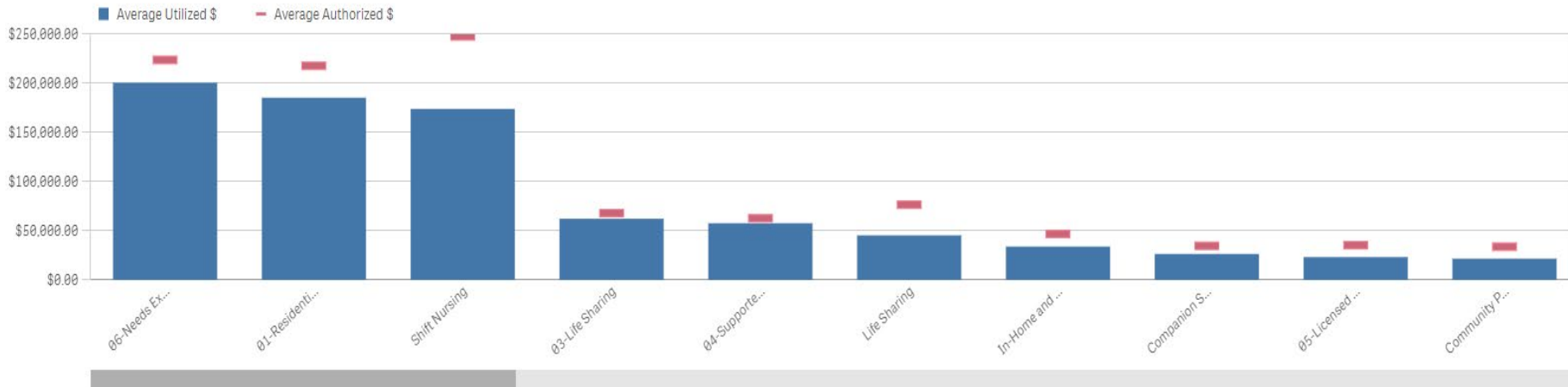
Previous Average Utilized \$

\$109,556.98

Statewide Average Utilized \$

\$114,291.78

Fiscal Year 2024 Distribution by Service Category



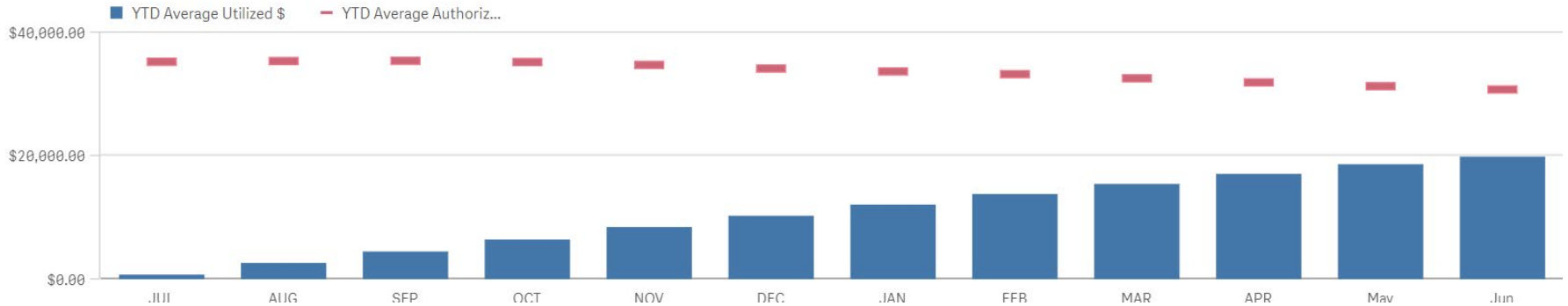
Average Authorization and Utilization by Waiver

Average Authorization and Utilization by Month

Fiscal Year 2024 - YTD Averages



Fiscal Year 2024 Distribution by Month



Needs Level Overview

Needs Level Overview



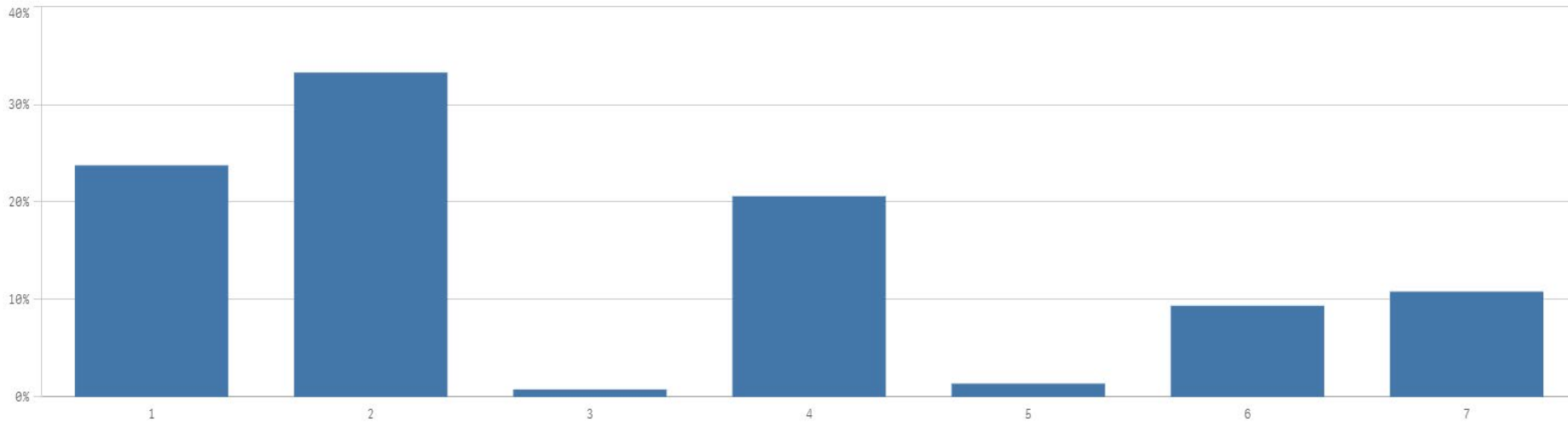
Needs Level 2025 - YTD Average

Average Needs Level
3.14

Statewide Average Needs Level
3.14

Distribution By County/Joinder

Needs Level 2025 Distribution



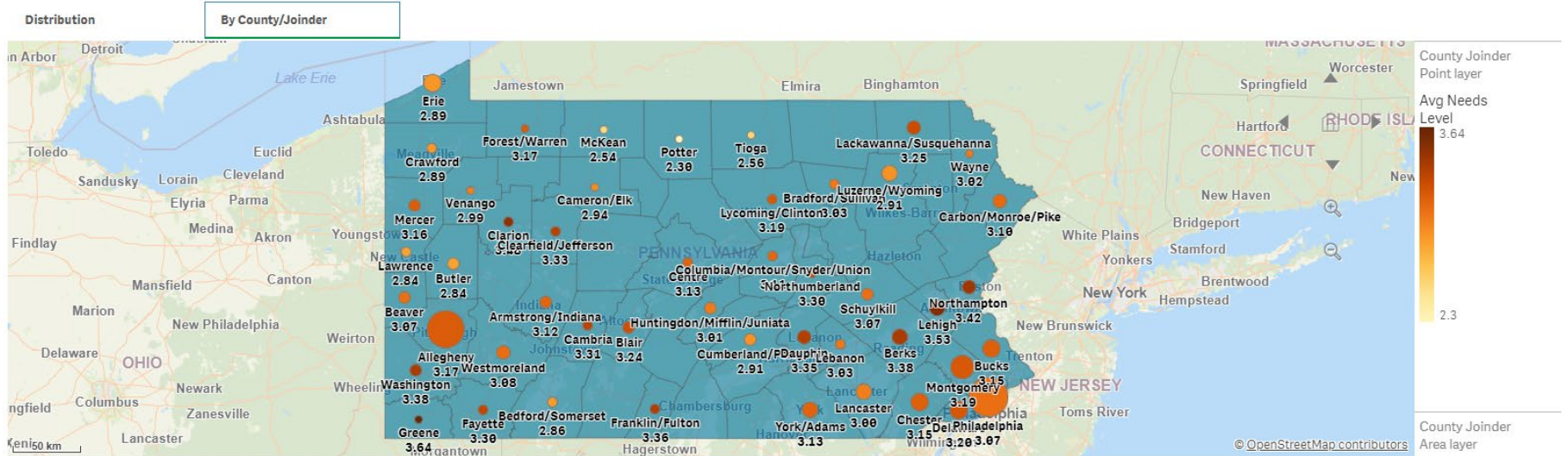
Needs Level Overview-Map

Needs Level Overview

Needs Level 2025 - YTD Average

Average Needs Level
3.14

Statewide Average Needs Level
3.14



* Map data is static and not affected by applied filters. Map does not act as a filter tool for other page data.

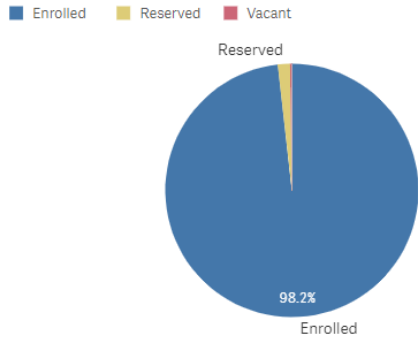
Capacity Management Overview

Capacity Management Overview

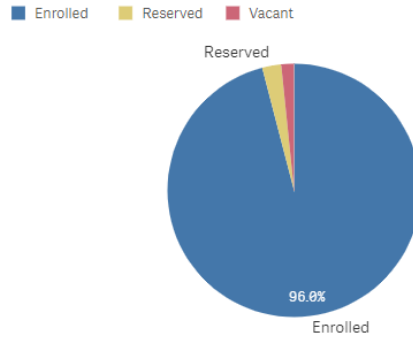
As Of Date

Note - any KPIs or charts with enrolled counts of less than or equal to 10 will not display data below.

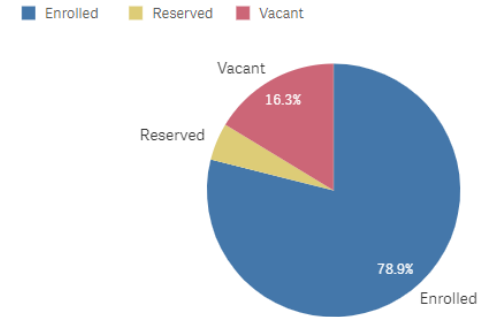
Consolidated Waiver



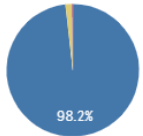
Community Living Waiver



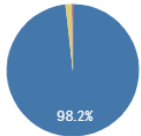
P/FDS Waiver



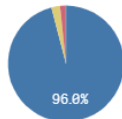
Regionwide Consolidated Waiver Capacity



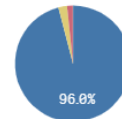
Statewide Consolidated Waiver Capacity



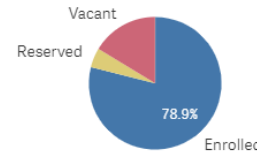
Regionwide Community Living Waiver Capacity



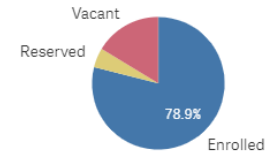
Statewide Community Living Waiver Capacity



Regionwide P/FDS Waiver Capacity



Statewide P/FDS Waiver Capacity



As Of Date

Emergency Waitlist

Community Living Waiver

1,013

Consolidated Waiver

73

P/FDS Waiver

1,187

Un-served

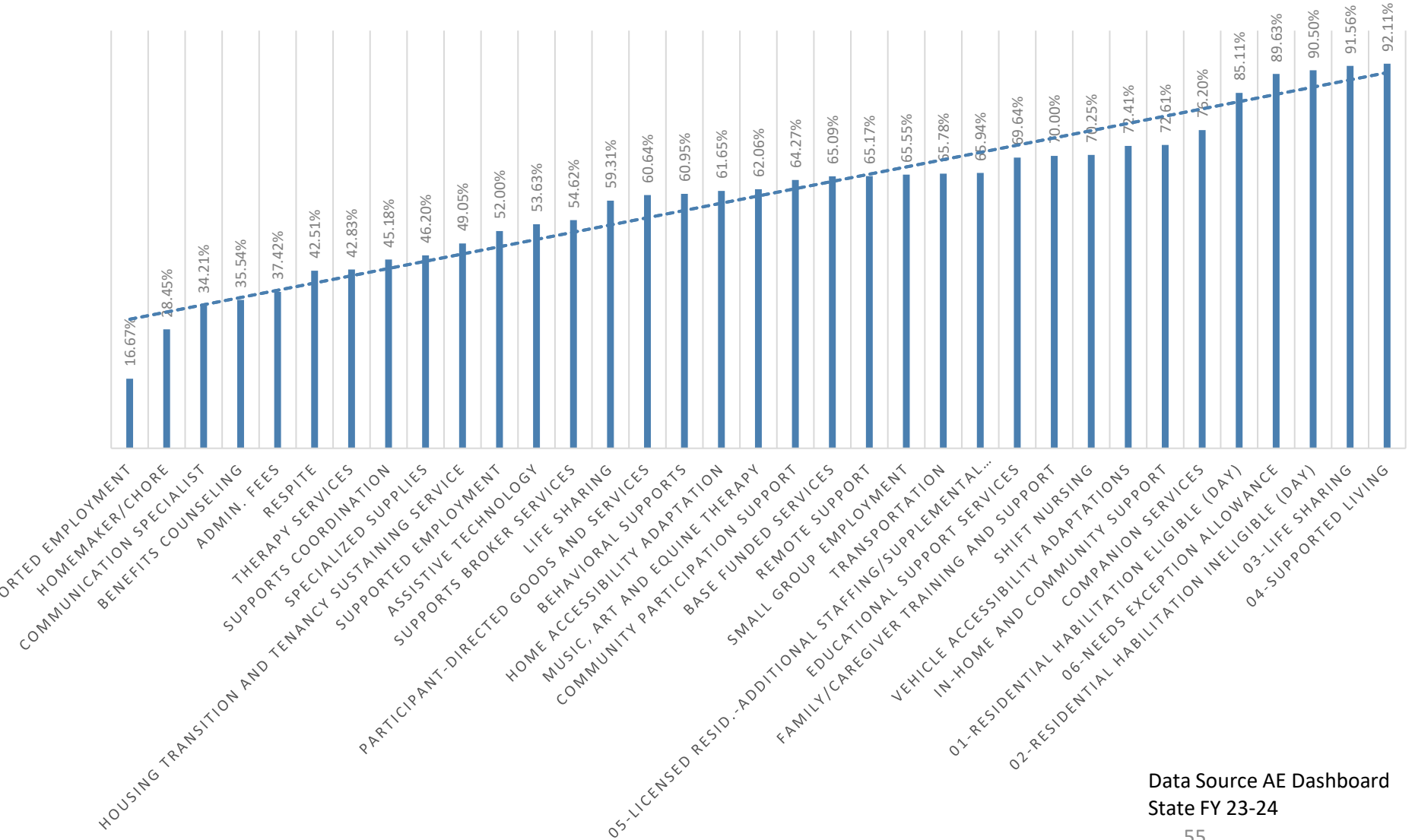
2,348

Underserved

726

Average Utilization by Service Category

PERCENT UTILIZED BY SERVICE CATEGORY STATE FY 23-24



Data Source AE Dashboard
State FY 23-24

Business Questions the Dashboard Can Help Answer

- How much money is over-authorization encumbering?
- What services are most underspent?
- What is my county's average spend in each waiver?

Future Dashboard Features



Anticipated AE Dashboard enhancements available early December 2024

- KPIs will include the difference between authorization/utilization (less math for you).
- Data visualizations of 90% utilization target and actual utilization.

Allocated Dollars Unspent

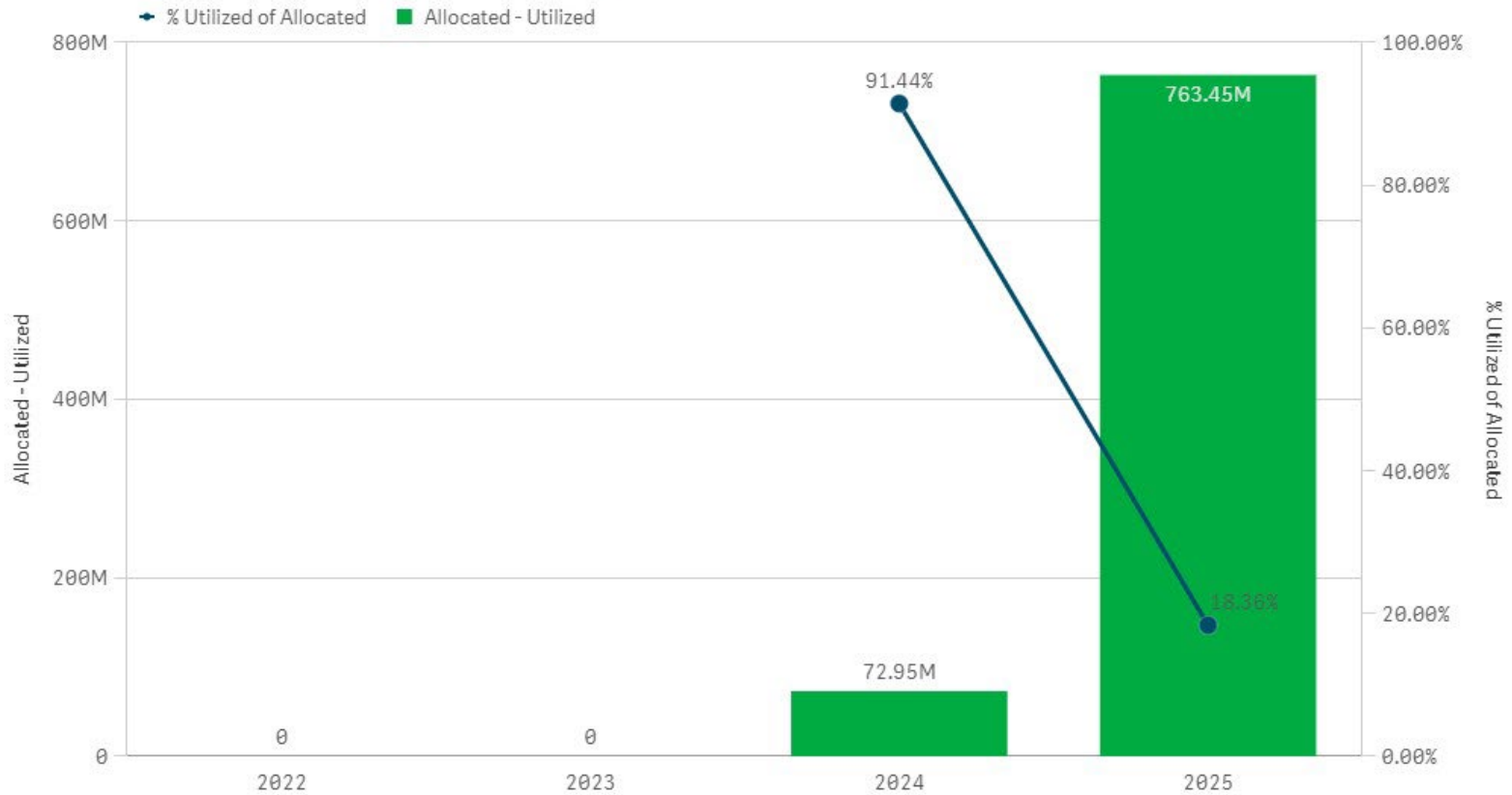


Option #1

Option #2

Utilized vs Allocated

Utilized vs Authorized



Authorization/Utilization Targets #1



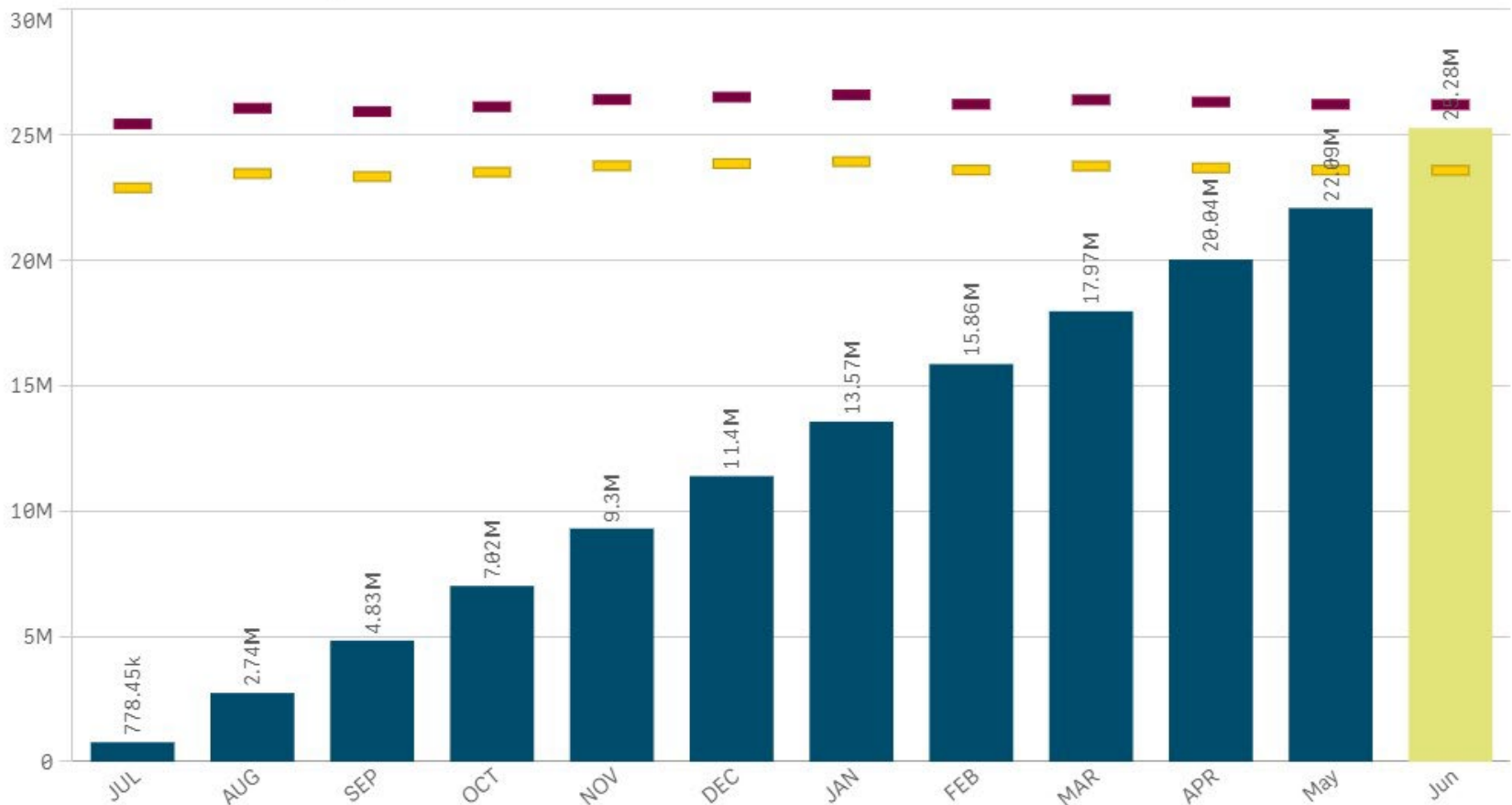
Option #1

Option #2

Utilization by County

Performance By County

Fiscal Year 2024 Distribution by Month





Authorization/Utilization Targets #2



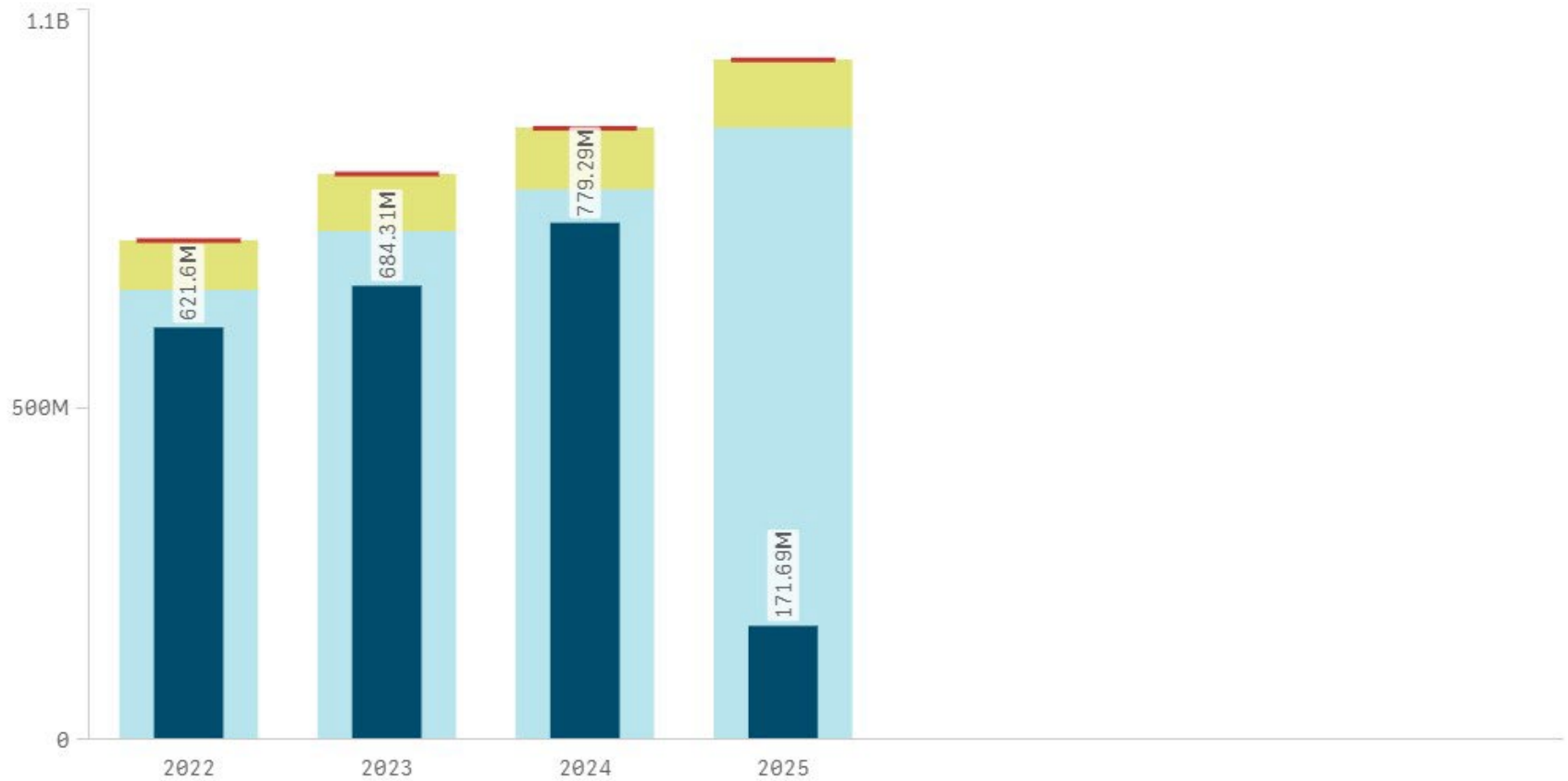
Option #1

Option #2

Utilized vs Allocated

Utilized vs Authorized

Distribution by Fiscal Year



KPI Enhancements

Fiscal Year 2024 - YTD Totals

Total Allocated Budget
\$852.24 M

% Authorized of Allocated
108.16%

% Utilized of Allocated
91.44%

Total Authorized \$
\$921.80 M

Total Utilized \$
\$779.29 M



Previous Year \$
\$852.85 M



Previous Year \$
\$684.31 M

% Utilized of Authorized
84.54%



Previous Year % of Authorized
80.24%

Statewide % of Authorized
81.83%

Utilization Distribution by County



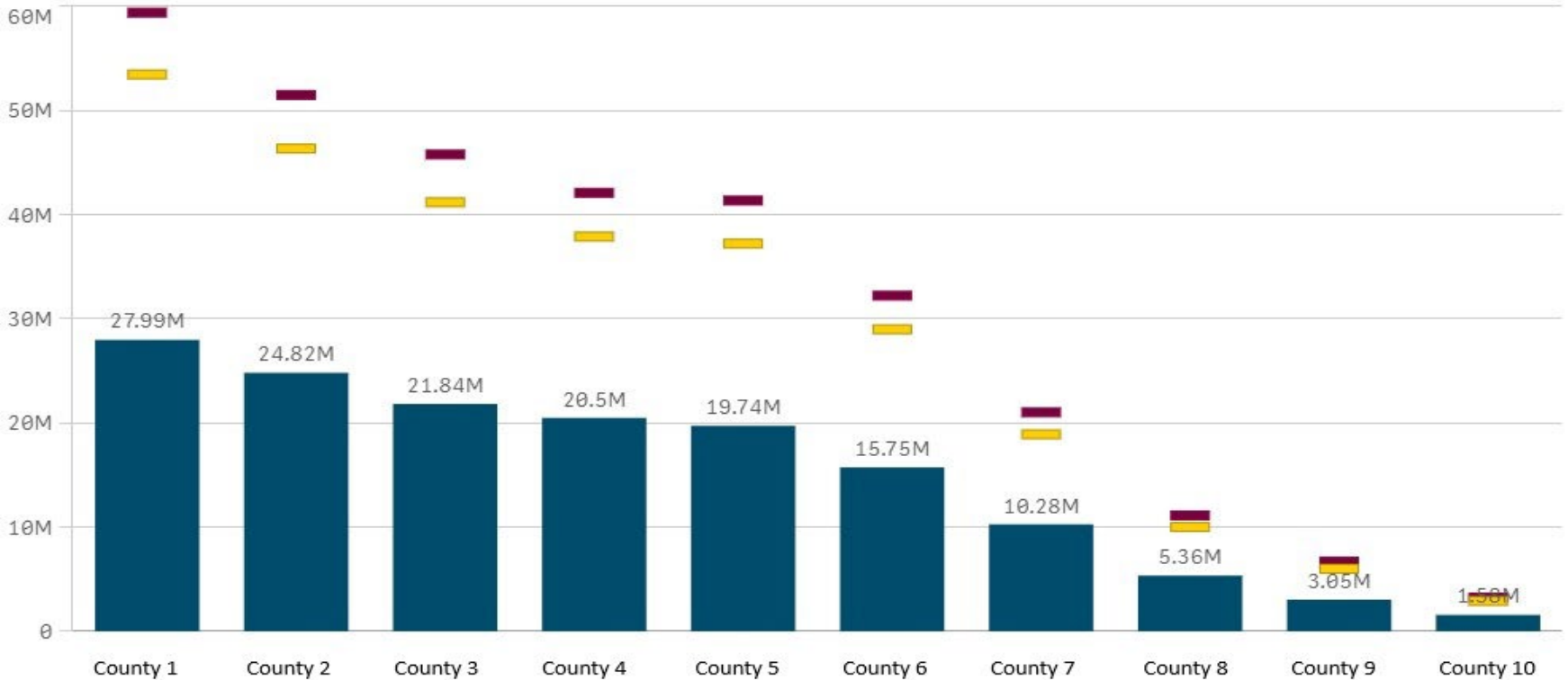
Utilization by County

Performance By County

Option #1

Option #2

Fiscal Year 2024 Distribution by Month



Questions to Ponder

- What work needs to be done to build confidence with individuals and families that the services will be available when needed?
- Do we have staffing and other resources to keep up with workload?
- Do we have the provider capacity to expand the use of Lifesharing and Supported Living?
- Are there historical practices that are contributing to over-authorization? i.e. respite
- What does our future waiver demand look like?

Day-to-Day Changes

- ISP Review and Authorization
- Periodic utilization review and corresponding follow up
- Timely PUNS updates
- Changes to “plan math”
- AE performance monitoring
 - Is the number of people on PUNS decreasing?
 - Is the amount of time people spend on the waiting list decreasing?
 - Are we filling waiver vacancies faster?

Does It Count...?

| Include service total in budget | Individual Budget | AE Budget |
|---------------------------------|-------------------|-----------|
| Supports Coordination | No | Yes |
| Supports Broker (PFDS) | No | Yes |
| Employment Services (\$15,000) | No | Yes |
| ASL Interpretation (waiver) | No | Yes |

Program Growth Reminders

- What it is:
 - Using data to help make decisions
 - Good ISP review practices
 - (Unfortunately) Math
 - Offering the continuum of residential services
 - Building trust with our stakeholders
 - Growing the number of individuals in waivers
- What it isn't:
 - Taking away services that people need
 - Not authorizing newly needed services
 - A medical model of justification for services
 - “Trading” or “exchanging” waivers
ex: two PFDS for one CLW

Breakout Discussion Groups

Next Steps

- Multi-Year Program Growth Strategy Protocol will be published
- AE Readiness QuestionPro link will be released
- Calculation Template will be finalized and published
- Fair Hearing and Due Process Training will be recorded and published