

## Measuring Performance in No Wrong Door (NWD) Systems

September 2017

### **Background**

To promote the collection of quantifiable data documenting the performance of No Wrong Door (NWD) Systems, the Administration for Community Living (ACL) worked collaboratively with NWD grantees to identify performance outcomes that all NWD System states, territories, and designated organizations could reasonably be expected to target and report. This work has been part of the state-driven evolution of NWD Systems from the first *Aging and Disability Resource Center* grants in 2003, to the articulation of the *Key Elements*, and the introduction of the *NWD System Management Tool*.

Multiple steps were taken prior to making the recommendations contained in this white paper. The initial step was to review the goals of the initiative and create logic models representing the four core functions of a NWD System. A NWD Outcomes Workgroup was convened to clarify the logic models, identify outputs and outcomes of particular interest, and operationalize possible performance measures. The NWD Outcomes Workgroup (hereon referred to as the Workgroup) was comprised of ACL staff from the Center for Integrated Programs and the Center for Policy and Evaluation, and representatives from eight NWD System grantees.

The Workgroup used a consensus-driven approach and included the active engagement of all Workgroup members. From the start it was understood that the resulting recommendations were to be used for future NWD Systems work and that it was intended to address system- as well as consumer-level outcomes. The agreed upon aim of the Workgroup was to:

*Identify a small number of core measures that can be used to demonstrate NWD impact on the LTSS delivery system.*

The method for identifying these core measures included conference calls and interim work on the part of the Workgroup. The activities of the Workgroup were supported by the NWD Systems contractor.

### **NWD System Vision**

*The No Wrong Door (NWD) System initiative is a collaborative effort of the Administration for Community Living (ACL), the Centers for Medicare & Medicaid Services (CMS), and the Veterans Health Administration (VHA). The NWD System initiative builds upon the Aging and Disability Resource Center (ADRC) program and CMS' Balancing Incentive Program No Wrong Door requirements that support state efforts to streamline access to long-term services and support (LTSS) options for older adults and individuals with disabilities. NWD Systems simplify access to LTSS, and are a key component of LTSS systems reform.*

*Finding the right services can be daunting for individuals and their family members. The current LTSS system involves numerous funding streams, and is administered by multiple federal, state, and local agencies. These agencies use complex, fragmented, and often duplicative intake, assessment, and eligibility processes. There are growing options for services and supports in home, residential, and institutional settings. Individuals trying to access new LTSS frequently find themselves confronted with a maze of agencies, organizations, and bureaucratic requirements at a time when they may be vulnerable or in crisis. These issues frequently lead to the use of the most expensive forms of care, including institutional care such as nursing homes or extended hospitalization, and can cause a person to quickly exhaust their resources.*

*NWD systems provide information and assistance not only to individuals needing either public or private resources, but also to professionals seeking assistance on behalf of their clients and to individuals planning for their future long-term care needs. NWD systems also serve as the entry point to publicly administered long-term supports, including those funded under Medicaid, the Older Americans Act, Veterans Health Administration, and state revenue programs.*<sup>1</sup>

With the release of *Key Elements of a NWD System of Access to LTSS for All Populations and Payers*<sup>2</sup>, a framework was available for understanding and developing “high performing” NWD Systems. As with much of the evolution of the NWD Systems, the *Key Elements* represent the collective knowledge and experience of prior NWD System activities and investments. The intention of the *Key Elements* is to assist States with transforming their LTSS functions into a more consumer-driven, efficient, and cost-effective NWD System.

The NWD System Management Tool was created to collect and analyze data elements that would demonstrate the operational structure and capacity of a NWD System. The Management Tool includes components of the *Key Elements* and was designed in close collaboration with grantees; it encourages a consistent, streamlined, and coordinated statewide approach that helps grantees report and track the progress of their NWD System vision, which helps grantees govern and manage their programs efficiently. The Management Tool assists ACL with monitoring NWD System activities, and can be used to identify gaps and best practices to inform the focus for future funding. The overall purpose of the NWD System Management Tool data is to understand and document the extent to which the NWD System is streamlining and coordinating access to LTSS through its four core functions of State Governance and Administration, Public Outreach and Coordination with Key Referral Sources, Person-Centered Counseling (PCC), and Streamlined Eligibility for Public Programs.

With the articulation of the *Key Elements* and the availability of the Management Tool, the next step in the evolution of this vision was to identify measures that would demonstrate the impact of the NWD System. States, territories, and designated organizations participating in NWD System vision, as well as Federal partners, identified the need for performance measures that show how the NWD System impacts multiple payers and populations. The next sections outline the steps taken to make recommendations for measuring performance of NWD Systems.

### **Process for Making Recommendations for Performance Outcomes**

Grantees representing the *Part A Enhanced Options Counseling* and *NWD Implementation* grants, were invited to participate in an introductory call with ACL about the purpose and initial approach for the NWD Outcomes Workgroup. Eight grantees were active participants for the seven months of the Workgroup’s duration (i.e., The District of Columbia, Hawaii, Maryland, Oregon, New Hampshire, Vermont, Virginia, and Washington).

As shown in Table 1, the Workgroup was convened from January 2017 through July 2017, with calls and activities to complete between calls. The Workgroup began with review and discussion of a proposed overarching logic model and proposed logic models representing each of the four NWD System functions: State Governance and Administration, Public Outreach and Coordination with Key Referral

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<sup>1</sup> <https://www.acl.gov/programs/connecting-people-services/aging-and-disability-resource-centers-programno-wrong-door> Retrieved May 19, 2017.

<sup>2</sup> <https://www.acl.gov/sites/default/files/programs/2016-10/NWD-National-Elements.pdf> Retrieved July 24, 2017.

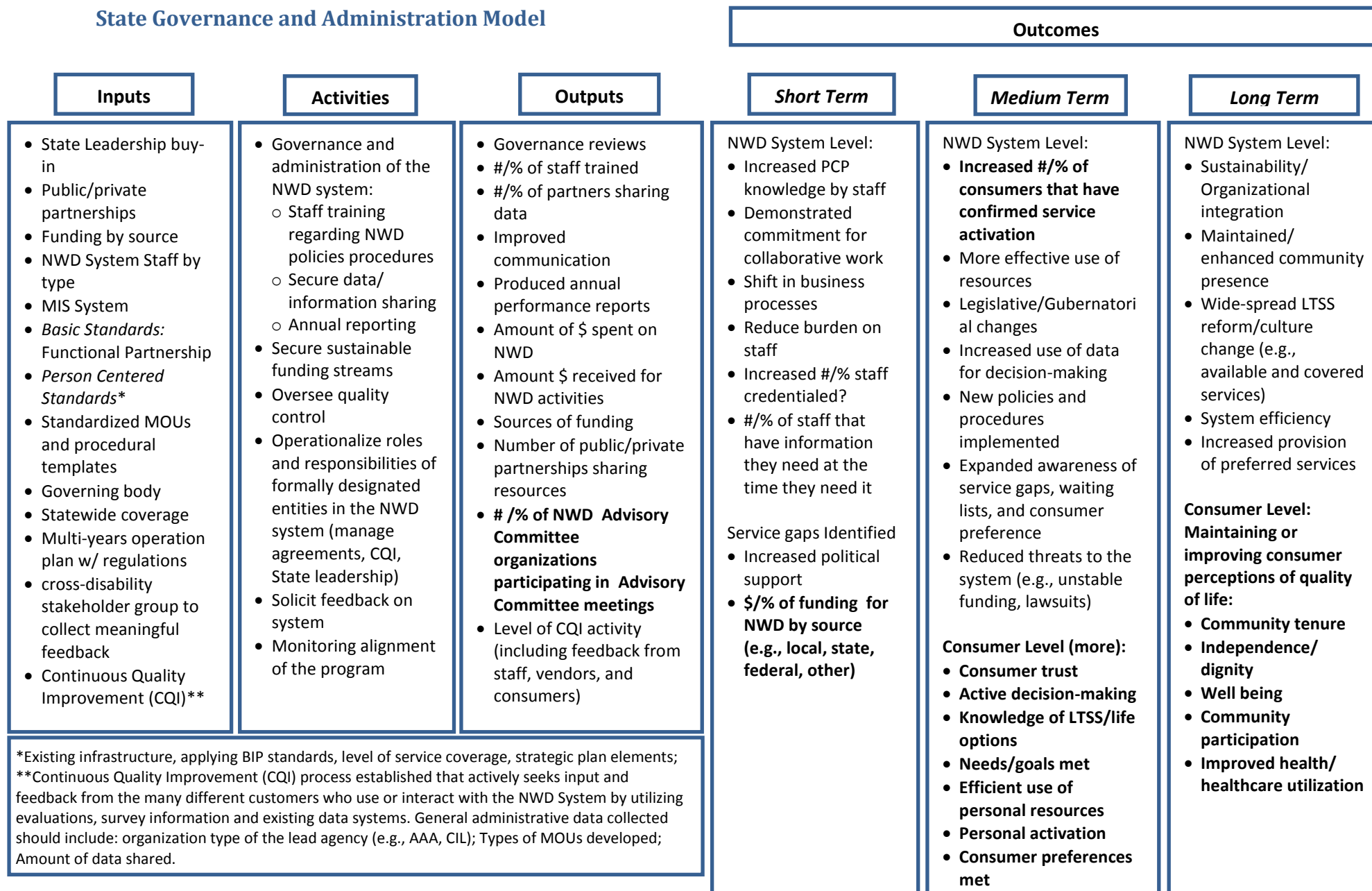
Sources, Person-Centered Counseling (PCC), and Streamlined Eligibility for Public Programs.<sup>3</sup> The final version of the four logic models can be found on the following pages, and they can be combined to represent an overarching logic model of NWD Systems. While the inputs, activities, outputs, and outcomes in the logic models are all important, not all are feasible and applicable for recommendation as performance measures. Those outputs and outcomes outlined in the next section as *Recommended Performance Measures* are in **bold** font in the four logic models.

Once consensus was reached and revisions were made to the logic models, Workgroup members used the detail in the logic models to create their own specific logic models. In the “State”-specific logic models, Workgroup members noted 3-5 outputs and outcomes of specific interest. ACL aggregated the outputs and outcomes of interest into new logic models which highlighted the most prominent outputs and outcomes. In Calls 4 and 4.2, Workgroup members reviewed the newest logic models and aimed to reach consensus on a core list of performance indicators. Combining feedback from the Workgroup and other federal stakeholders, ACL submitted a list of core outputs and outcomes to the Workgroup members and asked them to share what methods and measures they use (or would use) to track outputs and outcomes on the list. The final call with the Workgroup included fine tuning definitions and methods of tracking the performance indicators.

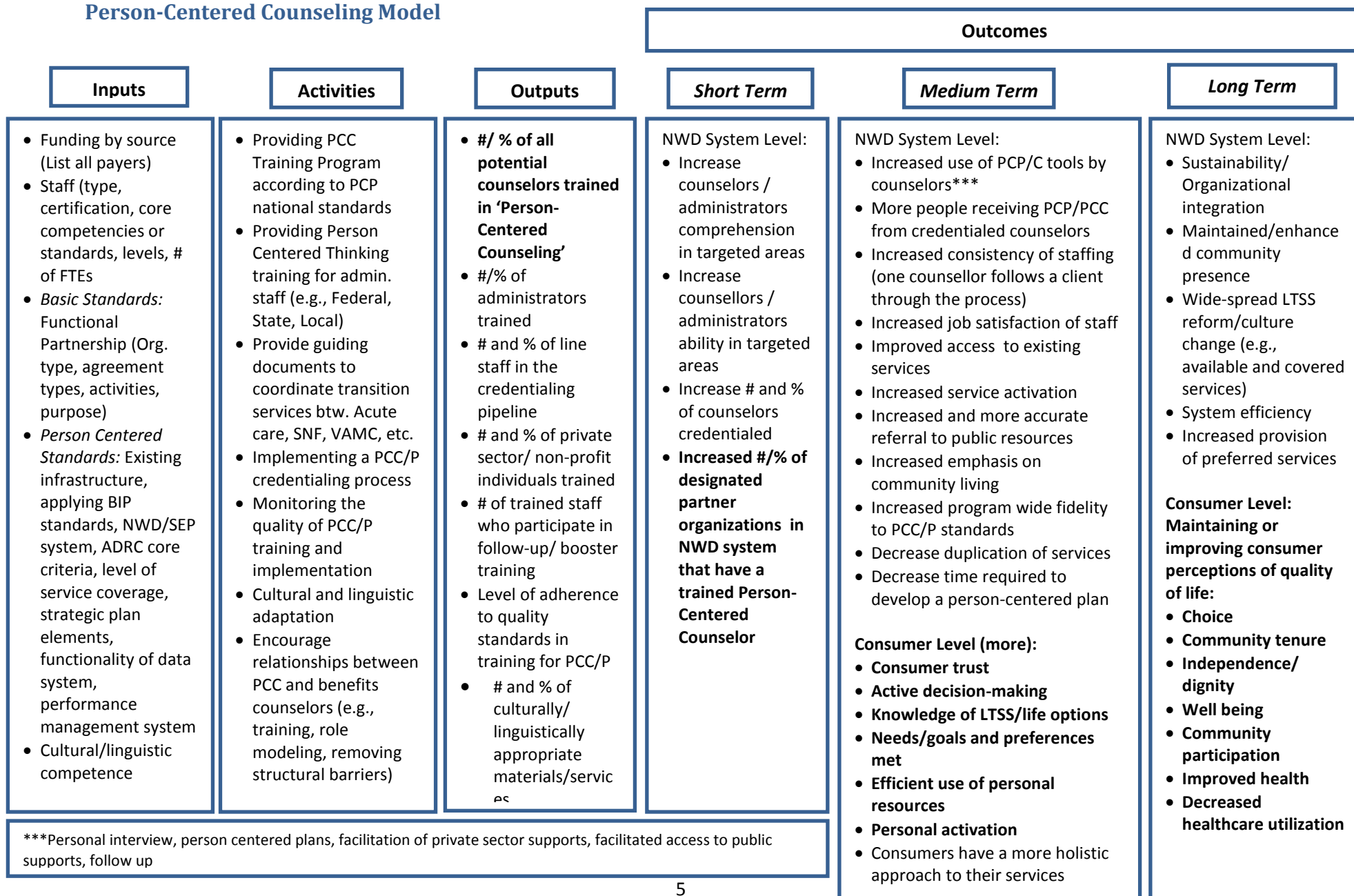
<u>Event</u>	<u>Action</u>	<u>Date</u>
Call #1	<ul style="list-style-type: none"> <li>• Approved the Aim and Concept of the Workgroup</li> <li>• Reviewed draft logic model process</li> </ul>	January 11, 2017
Call #2	<ul style="list-style-type: none"> <li>• Reviewed/discussed overarching draft logic model and logic models for two NWD key elements</li> </ul>	February 1, 2017
Call #3	<ul style="list-style-type: none"> <li>• Reviewed/discussed draft logic models for remaining NWD key elements</li> </ul>	February 15, 2017
Interim Activities	<ul style="list-style-type: none"> <li>• ACL updated logic models and sent back to states for review.</li> <li>• States provided comments on draft state specific logic models</li> </ul>	
Call #4	<ul style="list-style-type: none"> <li>• Reviewed/discussed interim activity of State specific logic models and identifying outcomes of interest</li> </ul>	March 15, 2017
Interim Activities	<ul style="list-style-type: none"> <li>• State specific logic models finalized</li> <li>• States identified 3-5 outcomes of interest</li> <li>• ACL aggregated list of outcomes from States</li> </ul>	
Call #5	<ul style="list-style-type: none"> <li>• Discussed list of outcomes and, based on state feedback, finalize core list that the NWD grantees will focus on in the workgroup</li> </ul>	April 26, 2017
Call #6	<ul style="list-style-type: none"> <li>• Finished last logic model (Streamlined Eligibility) discussion of outcomes</li> <li>• Began discussion of measure methodology.</li> </ul>	May 9, 2017
Interim Activities	<ul style="list-style-type: none"> <li>• ACL and Federal Stakeholders reviewed final list of outcomes</li> <li>• States identified measures currently used to track outcomes on the list</li> <li>• States submitted measure methodology to ACL</li> </ul>	
Call #7	<ul style="list-style-type: none"> <li>• Finalized discussion on measure methodology</li> </ul>	July 25, 2017

<sup>3</sup> <https://www.acl.gov/sites/default/files/programs/2016-10/NWD-National-Elements.pdf> Retrieved July 24, 2017.

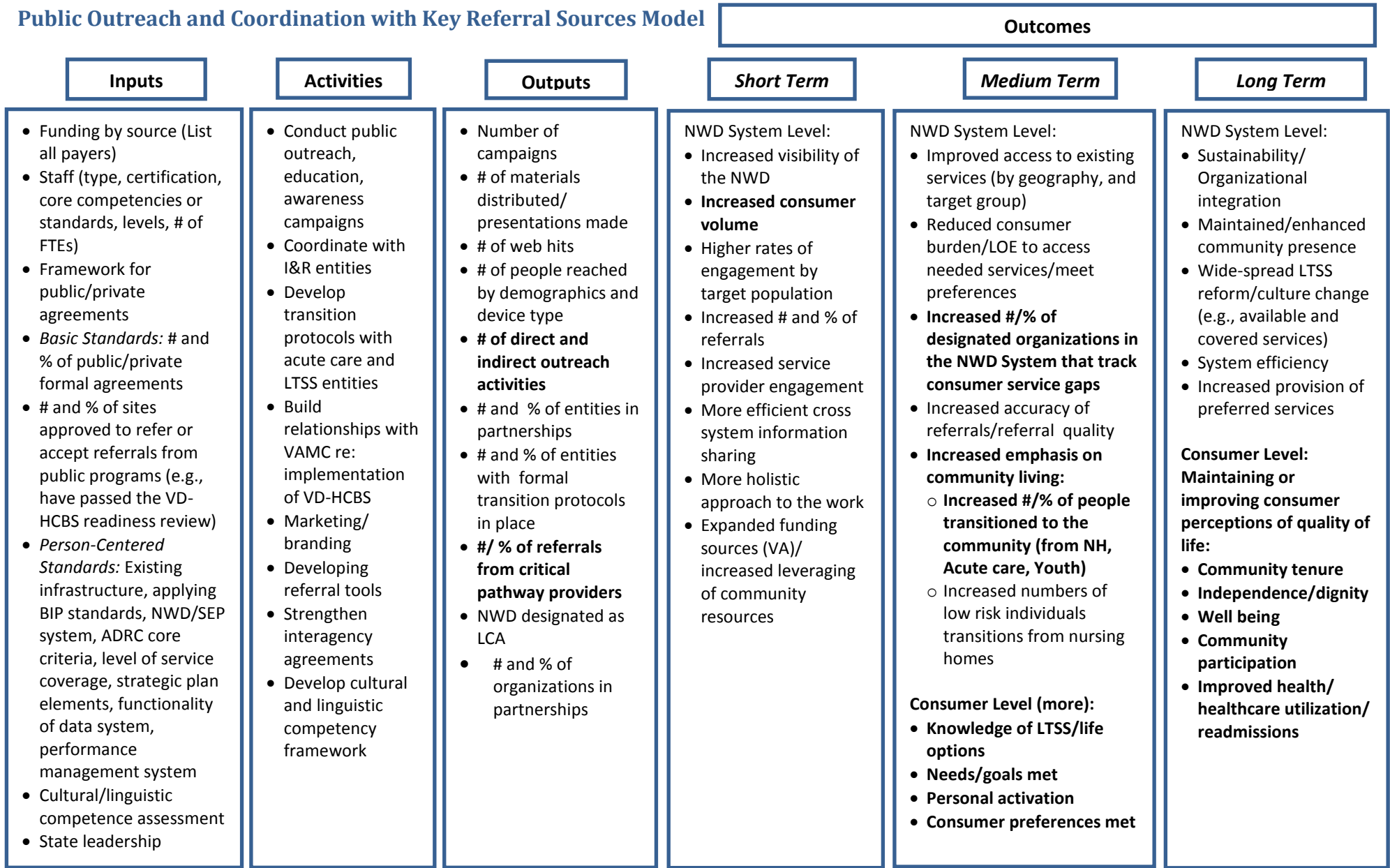
## State Governance and Administration Model



## Person-Centered Counseling Model

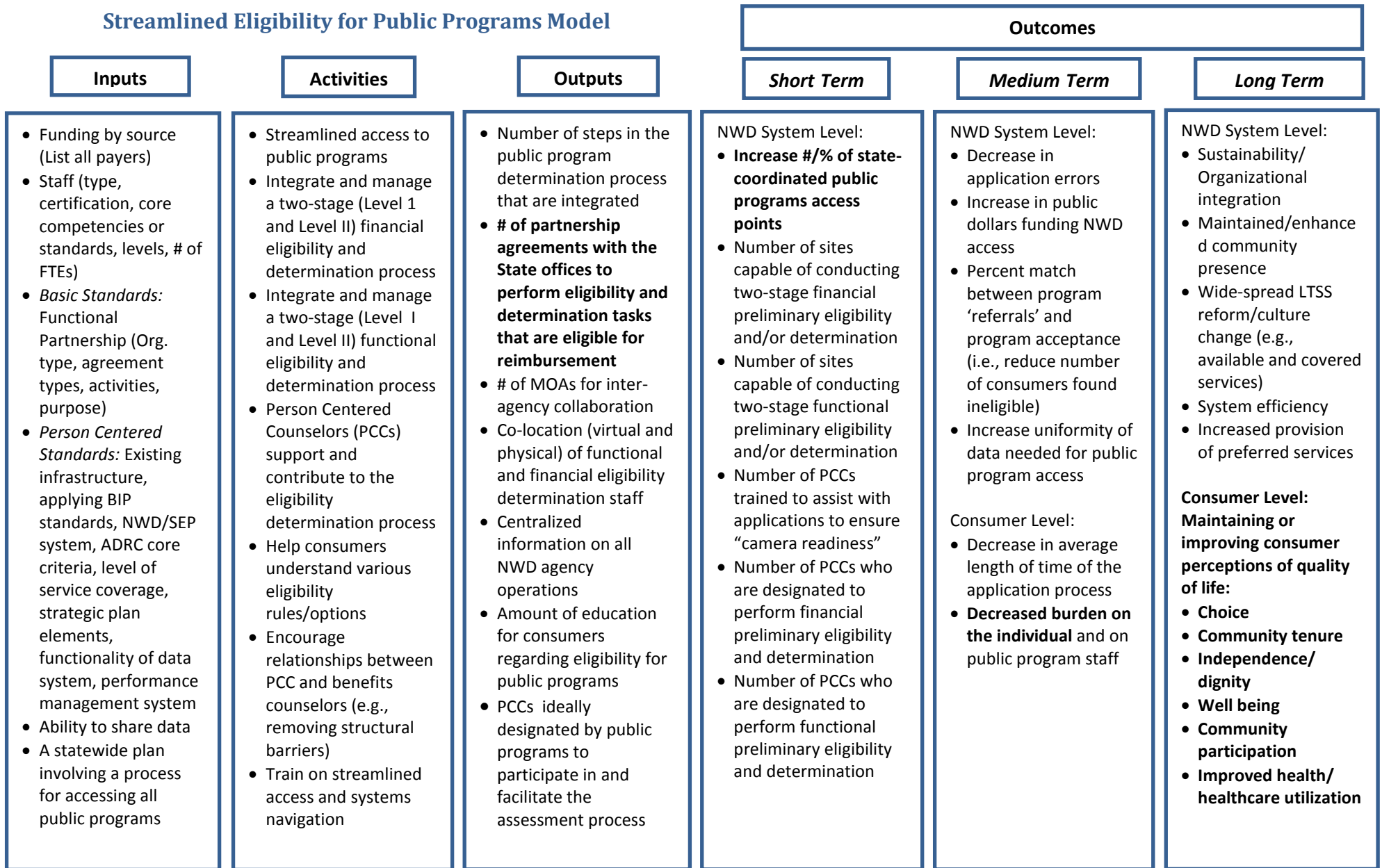


## Public Outreach and Coordination with Key Referral Sources Model





## Streamlined Eligibility for Public Programs Model



### Recommended Performance Outcomes

Based on the input and guidance of grantees and partners provided throughout this process, the following performance measures are recommended. The Table below includes the performance measure, how to measure the information, and the direct link to the NWD Key Elements. Please review the Logic Models to understand how these performance measures align with the four NWD Key Elements.

Measure #	NWD System Function	Output/Outcome	Performance Measure	Ways to measure this performance measure:
1	State Governance & Administration	Output	#/ % of NWD Advisory Committee organizations who have participated in at least 50% of Advisory Committee meetings in [insert calendar or fiscal year]	Formula: % = # of NWD Advisory Committee organizations who have attended at least 50% of Advisory Committee meetings / # of total NWD Advisory Committee organizations
2	Person-Centered Counseling (PCC)	Output	#/ % of all potential counselors trained in 'Person-Centered Counseling' in [insert calendar or fiscal year]	Formula: % = # of potential counselors who have <i>completed</i> PC training / # of total potential counselors
3	Public Outreach and Coordination with Key Referral Sources	Output	# of direct and indirect outreach activities in [insert calendar or fiscal year]	Count: # of direct or active outreach activities (e.g., meetings, health fairs, webinars)  # of indirect or passive outreach activities (e.g., billboard, TV PSA, radio PSA, newspaper ad)
4	Public Outreach and Coordination with Key Referral Sources	Output	#/ % of referrals to a NWD system from critical pathway providers (i.e., VA medical centers, skilled nursing facilities, hospitals, schools, physician practices) in [insert calendar or fiscal year]	Formula: % = # of referrals received by agency from critical pathway providers / # of total referrals received by agency
5	Streamlined Eligibility for Public Programs	Output	# of partnership agreement(s) with the State offices to perform eligibility and determination tasks that are eligible for reimbursement in [insert calendar or fiscal year]	Year to year comparison: # of newly signed agreements  # of agreements maintained  # of agreements terminated



Measure #	NWD System Function	Output/Outcome	Performance Measure	Ways to measure this performance measure:
6	State Governance & Administration	Outcome: NWD System Level	\$/ % of funding for NWD by source (e.g., local, state, federal, other) in [insert calendar or fiscal year]	Formula (repeat for each source type): % = \$ for NWD by specified source/ \$ for NWD by all sources
7	State Governance & Administration	Outcome: NWD System Level	Increased #/% of consumers that have a confirmed “activation” of their plan after a follow-up PCC session with the NWD in [insert calendar or fiscal year]	Formula: % = # of consumers with a confirmed activation of their plan/ # of total consumers who had PCC
8	Person-Centered Counseling (PCC)	Outcome: NWD System Level	Increased # /% of designated partner organizations in a NWD system that contract or employ a trained person-centered counselor in [insert calendar or fiscal year]	Formula: % = # of designated partner organizations with trained PCC employees or contract staff/ # of designated partner organizations within NWD system
9	Public Outreach and Coordination with Key Referral Sources	Outcome: NWD System Level	Increased consumer volume in [insert calendar or fiscal year]	Year to year comparison: # of consumer contacts  # of consumer referrals  # of consumers receiving PCC  # of consumers with confirmed activation of their plan
10	Public Outreach and Coordination with Key Referral Sources	Outcome: NWD System Level	Increased #/% of designated organizations in the NWD System that track consumer service gaps in [insert calendar or fiscal year]	Formula: % = # of designated partner organizations that track consumer service gaps/ # of designated partner organizations within NWD system
11	Public Outreach and Coordination with Key Referral Sources	Outcome: NWD System Level	Increased emphasis on community living: <ul style="list-style-type: none"> <li>Increased #/ % of people transitioned to the community (from NH, Acute care, Youth) in [insert calendar or fiscal year]</li> </ul>	Formula (repeat for each setting type): % = # of NWD consumers who transition to community from specified setting/ # of NWD consumers who are eligible/express interest in transitioning from specified setting

Measure #	NWD System Function	Output/Outcome	Performance Measure	Ways to measure this performance measure:
				Alternative Formula (repeat for each setting type): % = # of NWD consumers who transition to community from specified setting/ # of total NWD consumers
12	Streamlined Eligibility for Public Programs	Outcome: NWD System Level	Increase #/ % of state-coordinated public programs access points in [insert calendar or fiscal year]	Formula: % = # of state-coordinated public programs that serve as NWD access points/ # of total state-coordinated public programs
13	State Governance & Administration  Public Outreach and Coordination with Key Referral Sources  Person-Centered Counseling (PCC)  Streamlined Eligibility for Public Programs	Outcome: Consumer Level	Perceptions of consumers, in [insert calendar or fiscal year] showed: <ul style="list-style-type: none"> <li>• Increased consumer trust</li> <li>• Increased active decision-making</li> <li>• Increased knowledge of LTSS/ life options</li> <li>• Increased needs/goals and preferences met</li> <li>• Increased personal activation/ empowerment</li> <li>• Increased choice</li> <li>• More efficient use of personal resources</li> <li>• Decreased burden on the individual</li> <li>• Improved health<sup>4</sup></li> <li>• Decreased health care utilization<sup>3</sup></li> <li>• Increased community tenure<sup>3</sup></li> </ul>	Year to year comparison: Average values on related constructs

<sup>4</sup> These constructs are included because they can indicate the level to which consumers *perceive* improvement in these areas. It is recommended that the NWD System also consider an evaluability or pilot study, similar to those described in the section on *Measures of Interest*, to determine whether and how administrative/clinical (i.e., not consumer perception) data can inform these NWD outcomes.

### Measures of Interest

Discussion among grantees and partners included measures which are not being recommended as performance measures, but still warrant monitoring. Below are measures of interest and recommendations of how they may still be monitored but not reported as performance measures. The Table below includes the measure of interest and recommendations for next steps.

NWD System Function	Output or Outcome	Measure	How to measure:
State Governance & Administration  Public Outreach and Coordination with Key Referral Sources  Person-Centered Counseling (PCC)  Streamlined Eligibility for Public Programs	Outcome: NWD System Level	NWD sustainability/organizational integration	Consider adding this to the Management Tool and include a standard progress tool/ marker of progress for each indicators, such as: <ul style="list-style-type: none"> <li>• Occurred</li> <li>• Planned</li> <li>• Not expected</li> </ul> Progress record of following indicators in [insert calendar or fiscal year]: <ul style="list-style-type: none"> <li>• State legislative or executive action which funds or authorizes the NWD</li> <li>• Explicit mention of NWD in organization’s strategic plans</li> <li>• Ongoing training/support in PCC and NWD processes supported with funding apart from federal grants</li> <li>• Co-location of NWD staff</li> <li>• Joint NWD positions</li> <li>• Requests for inclusion of NWD in grants and/or activities of non-affiliated organizations</li> </ul>
State Governance & Administration  Public Outreach and Coordination with Key Referral Sources  Person-Centered Counseling (PCC)  Streamlined Eligibility for Public Programs	Outcome: NWD System Level	System efficiency (previously worded as: <i>Decreased system costs (cross programs) and/or decreased growth in costs</i> )	Consider an evaluability or pilot study to explore the variation in possible types of efficiency (e.g., decreased costs, decreased application time, decreased cost per person) and the varying levels of systems costs in different states. This could include in-depth case studies of selected NWD Systems to help a) operationalize the types of efficiency, b) identify key sources of information and applicable data elements, and c) assess efficiency overtime, in advance of a concept paper for a full NWD System evaluation.

NWD System Function	Output or Outcome	Measure	How to measure:
Person-Centered Counseling (PCC)	Outcome: NWD System Level	Increased use of PCP/C tools by counselors	Consider a pilot study/workgroup to explore the types of tools used, when they are used, and the quantity of use. This could include a working group of PCCs in selected NWD Systems to help a) identify the PCP/C tools that are used, b) understand how the use of these tools is tracked, and c) know if there are specific criteria for selecting/using tools. This information is a needed first step before determining whether there are linkages between the use of the tools and outcomes for the system and consumers.
Streamlined Eligibility for Public Programs	Outcome: NWD System Level	Decrease in average length of time of the application processes	Consider an evaluability or pilot study to determine systems and data elements needed to explore the NWD trajectory/experience for consumers. This could include in-depth case studies of selected NWD Systems to help a) understand if Systems have the data elements necessary to track consumer flow through the System, b) know what type of tracking system is used to monitor consumer progress, and c) the practicality/system functionality of retrieving summary information. This information is a needed first step before determining linkages between the application process time and outcomes for the system and consumers.