Vision for NWD System Governance Checklist

This checklist provides a guide for No Wrong Door (NWD) Systems to assess the strength of their governance and as a measure of progress for states working towards strong governance.

About the NWD Governance

The No Wrong Door governing body leads the design, implementation, and ongoing administration of the NWD System to ensure streamlined access to long-term services and supports. Governance and administration must involve a collaborative effort among multiple state agencies, since no one state agency has the authority or expertise to carry out key functions involved in a NWD System.

> **Key Functions of a NWD System:**
> 1. Public Outreach and Coordination with Key Referral Sources
> 2. Person Centered Counseling
> 3. Streamlined Eligibility to Public Programs
> 4. State Governance and Administration

The NWD System governing body should be responsible for coordinating the on-going development, implementation, financing, evaluation and continual improvement of the state's NWD System. It actively and publicly promotes the philosophy, values, concepts, and practices of person-centeredness throughout the NWD System. The governing body defines performance measures and leads continuous quality improvement, including ensuring adequate training and workforce capacity. Through stakeholder inclusion, the governing body is also guided by the those of which it serves, including people with disabilities, family caregivers, and older adults. These may all be activities already occurring under current long-term services and supports (LTSS) programs, but by collaborating as one governing body, states reduce redundancy and overlap of resources, improve standardization and quality of service delivery across the state - leading to overall efficiency and opportunities for sustainability.

> **What is the NWD System Governance vision?**
> Each state has a single, coordinated statewide system where multiple state agencies align to create a simplified process through which individuals and family caregivers can access unbiased information and one-on-one counseling on the options for long-term services and supports available in their local communities.

For More Information about Governance and NWD System Key Elements
Refer to the Key Elements of a NWD System of Access to LTSS for All Populations and All Payers for more detailed explanations about the checklist measures.

How to Use the Checklist

Complete the checklist and indicate the total number of checked boxes for each *Governance Element*. Then complete the "Checklist Totals" table at the bottom of the checklist. This checklist may be completed more than once to evaluate progress towards improving the NWD governance structure.

NWD System Governance Elements Checklist	Yes	No
State Leadership and Collaboration	__/ 16	__/ 16
1. Governor or legislative support		
A. The Governor has issued an executive order for a NWD governing body at the cabinet level	☐	☐
B. There is state legislation that: outlines a lead entity and NWD governing body at the cabinet level; designates or defines Aging and Disability Resource Centers[1]; or allocates funding for NWD or NWD functions such as options counseling.	☐	☐
C. If no to above:		
i. There are plans to engage the Governor's office within the first quarter of the grant to emphasize cabinet level importance	☐	☐
ii. There are existing related initiatives gaining attention in the state that NWD System efforts could collaborate on. (i.e. Master Plan for Aging, Alzheimer's Task Force)	☐	☐
2. Governing body Membership and Meetings		
A. State Medicaid agency	☐	☐
B. State Unit on Aging	☐	☐
C. State agencies that serve or represent the interests of individuals with physical disabilities	☐	☐
D. State agencies that serve or represent the interests of individuals with intellectual and developmental disabilities	☐	☐
E. State authorities administering mental health services	☐	☐
F. Other key state agencies such as housing, behavioral health, transportation, nutrition, health IT, state insurance departments (such as SHIP or benefits enrollment) etc.	☐	☐
G. Governing body has clearly defined and agreed-upon goals and outcomes in alignment with establishing a NWD System.	☐	☐

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[1] As defined in the Older Americans Act (OAA), an ADRC is an entity, network, or consortium established and designated by a state as part of the state system of long-term care, to provide a coordinated and integrated system for older adults, people with disabilities, and their caregivers.

NWD System Governance Elements Checklist	Yes	No
An example is: a charter that is inclusive of responsibility, scope and authority reach.		
H. Senior staff from these agencies are designated as full partners and are aware of their roles and responsibilities in managing the on-going development and implementation of the NWD System vision.	☐	☐
I. Governing body meets at least quarterly and agenda and meeting minutes are filed.	☐	☐
3. Governing body Actions		
A. There is a variety of funding sources (or sources under the authority of the state), including Medicaid, to support planning, implementation, and on-going operation.	☐	☐
B. The State considers various levels of investments and partnerships to meet the goals of the four key functions of a NWD System. Various levels of investments may include financial support or seed funds, technical assistance, contractual agreements or other from Medicaid, Older Americans Act programs, VA programs, U.S. Department of Housing and Urban Development or other sources. Consider braiding and blending funds and public/private partnerships, such as with health plans or health systems.	☐	☐
C. The State coordinates their NWD System with a variety of state and federal administered programs that help beneficiaries understand their options for and access to long term services and supports health insurance programs (e.g., Senior Health Insurance Program, Medicaid).	☐	☐
Stakeholder Inclusion	__/ 5	__/ 5
1) The State has a formal process in place for involving external stakeholder groups and individuals, including older adults, persons with disabilities, (physical, behavioral and ID/DD) family caregivers, state hospital associations, and public housing authorities or agencies in the development and on-going implementation of the	☐	☐

NWD System Governance Elements Checklist	Yes	No
NWD System, such as through an advisory council or other method. **a)** Has documented evidence that stakeholder input is influencing the design and ongoing operations of the NWD System. The Governing body is eliciting input from a variety of stakeholders, especially individuals with lived experience. **b)** Has documented the agreed upon roles that stakeholders play in enabling access to long-term services and supports, especially during times of crisis or life changing events.	☐ ☐	☐ ☐
2) Based upon input from consumers and other sources, the state has developed a multi-year plan for implementing a NWD System consistent with the functionality described in the "Key Elements of a NWD System of Access to LTSS for All Populations and All Payers." **a)** The plan is a living document, intentionally reviewed and updated annually and is transparent of strategic direction and progress toward goals.	☐ ☐	☐ ☐
Designation of Non-State Government Entities to Perform NWD Functions	__/ 5	__/ 5
1) Clearly defined criteria to select and monitor the entities outside of state government that play a formal role in carrying out the NWD System functions.	☐	☐
2) The NWD System collaborates with a variety of different organizations to do Person-Centered Counseling such as Area Agencies on Aging, Independent Living Centers, ADRCs etc., to ensure its NWD System has the capacity to perform all NWD functions and serve different LTSS populations across the state.	☐	☐
3) The State or local NWD partner organizations (such as ADRCs), coordinate and manage referrals, across IT systems or referral platform vendors to manage/receive referrals from multiple sources, including health care entities.	☐	☐
4) Organizations with formal partners in the State's NWD System have access to a statewide data system, are part of the referral process (i.e., referral transfer across NWD partners to ensure	☐	☐

NWD System Governance Elements Checklist	Yes	No
people connect to the appropriate place for support) and/or have a contract, MOU or MOA with the NWD lead agency. **a)** To ensure that contracts remain dynamic and relevant, the state conducts an annual review of MOUs, contracts and/or MOAs as part of a quality improvement process to ensure roles and responsibilities remain clear and coordination exists between the entities involved.	☐	☐
Person-Centeredness	**__/ 6**	**__/ 6**
1) The State is implementing Person-Centered Counseling consistent with Person-Centered Planning definition in the HCBS Final Rule[2] and the Standards for Peron-Centered Planning and Self-Direction in HCBS Programs from Section 2402(a) of the Affordable Care Act.[3]	☐	☐
2) Staff doing Person-Centered Counseling in the NWD System have the competencies to conduct person-centered planning in a way that is consistent with the person-centered planning requirements outlined in the CMS HCBS Final Rule, as well as person-centered concepts. **a)** All staff and NWD partners have been trained in person-centeredness	☐ ☐	☐ ☐
3) Managers and other key staff throughout the NWD System have an understanding of the philosophy, values, concepts, and practices of person-centered planning as part of its strategy to make its LTSS system more consumer-driven. **a)** All NWD System managers have been trained in person-centeredness or are operationalizing person-centered principles in their administrative activities	☐ ☐	☐ ☐
4) The NWD System has staff, such as NWD personnel, doing Person-Centered Counseling with skills and expertise required to facilitate the use of self-directed models of LTSS.	☐	☐
Performance Standards and Continuous Quality Improvement	**__/ 10**	**__/10**

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[2] Information on the CMS HCBS Final Rule can be found at https://www.medicaid.gov/medicaid/hcbs/guidance/index.html.
[3] Information on the Standards for PCP and Self-Direction in HCBS Programs can be found at: h:ttps://acl.gov/sites/default/files/programs/2017-03/2402-a-Guidance.pdf

NWD System Governance Elements Checklist	Yes	No
1. *Performance Standard*		
A. The state has an established process for continually monitoring and improving the performance of its NWD System that allows the state to track its progress over time in implementing a single statewide NWD System consistent with the "Key Elements of a NWD System of Access to LTSS for All Populations and All Payers."	☐	☐
The state has identified success metrics, supported by data collection.	☐	☐
The state had identified what data NWD can provide as a resource for other system metrics and/or support comparative analytics with other systems and agencies.	☐	☐
B. The state has a formal assessment of its access programs and functions, including its eligibility determinations processes, across all populations documenting the challenges consumers face when accessing LTSS and other services and programs.	☐	☐
a) The state has developed a quality improvement plan or strategy to address challenges (identified in the formal assessment or via other methods).	☐	☐
b) The state has identified successful strategies and are replicating them.	☐	☐
2. *Electronic Information Technology*		
A. The State uses a statewide data infrastructure that allows for closed loop referrals, data sharing, access to Medicaid MIS, and other key activities to support and manage all four functions within its NWD System.	☐	☐
B. The State uses its electronic information technology to facilitate the sharing of client information across some operating organizations in its NWD System and to also securely exchange client information with entities such as acute care hospitals and long-term care facilities in a way that leverages the use of health IT.[4]	☐	☐

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[4] "Health information technology (health IT) makes it possible for health care providers to better manage patient care through secure use and sharing of health information. Health IT includes the use of electronic health records

NWD System Governance Elements Checklist	Yes	No
3. Continuous Quality Improvement		
A. The State NWD System continually improves individual experiences, enrollment and eligibility processes for any state-administered public program that provides LTSS, such as Medicaid or nutrition services programs.	☐	☐
B. The NWD System uses a consumer satisfaction survey that includes consumer outcome measures of autonomy and control.	☐	☐
Workforce and NWD Personnel	__/ 3	__/ 3
1) The State has a documented method/process to estimate current and future demand for NWD System functions. Examples of methodologies to estimate demand include assessments (quantitative and qualitative) for tracking community tenure (i.e., the number of individuals able to transition from a facility and/or remain in the community) and assessments to determine unserved or underserved individuals by service type. Data may also come from consumer satisfaction surveys that ask about unmet need.	☐	☐
2) The State has a strategy in place for ensuring it has the capacity to meet demand for NWD System functions, including the demand across different segments of the state's population. Such methodologies may include assessments (qualitative or quantitative) for tracking community tenure (i.e., the number of individuals able to transition from a facility and/or remain in the community), assessments to determine unserved or underserved individuals by service type, and consumer satisfaction surveys that ask about unmet need.	☐	☐
3) The State tracks NWD System costs across NWD System functions and geographic areas, as well as statewide cost-savings.	☐	☐

(EHRs) instead of paper medical records to maintain people's health information." Available at
https://www.healthit.gov/

NWD System Governance Elements Checklist	Yes	No
This may include cost savings accruing to the Medicaid program as a result of providing assistance to Medicaid-eligible individuals to use lower-cost LTSS services and helping private-pay individuals avoid unnecessary use of costly services and subsequent spend down to Medicaid. This may include other state funded programs that serve individuals, locality savings, improved quality of life for individuals served (prevention/intervention), and/or considerations around social determinants of health.		

Checklist Totals: NWD System Governance Elements	Number of "Yes" checked boxes	Number of "No" checked boxes
State Leadership and Collaboration		
Stakeholder Inclusion		
Designation of Non-State Gov Entities to Perform NWD Functions		
Person-Centeredness		
Performance and Continuous Quality Improvement		
Workforce and NWD Personnel		
Total Scores (max: 45)		