

*The New Freedom Initiative: The  
Federal Perspective on Service  
Quality*



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# *New Freedom Initiative – EO*

*2/01/01*

## The Policy

- Increasing Access to Assistive and Universally Designed Technologies
- Expanding Educational Opportunities for Americans with Disabilities
- Integrating Individuals with Disabilities into the Workforce
- Promoting Full Access to Community Life

*Community-Based Alternatives Executive  
Order - #13217*

...it is hereby ordered... [that] the federal government must assist states and localities to implement swiftly the *Olmstead* decision, so as to help ensure that all Americans have the opportunity to live close to their families and friends, to live more independently, to engage in productive employment, and to participate in community life.”

# HHS - Progress on the Promise – March 2002



- Supporting Individuals & Families to Remain in the Community through Self-directed decision making
- Effective Quality Assurance & Quality Improvement
  - Multi-pronged strategy to address quality in HCBS
  - Quality Improvement through a National Contractor
  - Action Reinvestment for Quality

# *Shifting Federal Quality Focus - Current*



- Standards Setting & Monitoring –  
Institutional Settings
  - Survey & Certification Processes
  - Estimated \$400 million per year
  - Reporting of violations with 21 day notice of funding termination

# *Shifting Federal Quality Focus - Current*



- Prospective assurances of quality in HCBS waiver applications followed by Retrospective review, 3-5 years later
- HCBS quality assurance expectations to meet broad regulatory compliance and/or problem identification, most often with respect to health and welfare with only termination as a compliance tool

## *Shifting Federal Focus - Future*

- CMS recognizes that it has a role that goes beyond simply giving permission to states to develop institutional alternatives and to monitor compliance with regulatory requirements.
- It requires that it assess more closely the systems of quality assurance and improvement in place and the provision of direct assistance to its state partners Concurrently

# *Multi-pronged Strategy*



- Defining the framework for a quality discussion and assessing the state-of-the-art
- Tools for States
- Tools for CMS
- Technical Assistance

# *Quality Framework - Functions*



- Design
- Discovery
- Remedy
- Improvement

# *Quality Domains*



Participant Access

Participant-Centered Service Planning & Delivery

Provider Capacity and Capabilities

Participant Safeguards

Participant Rights and Responsibilities

Participant Outcomes and Satisfaction

System Performance

# *National Contractor*


- Resource to CMS Regional Offices (RO) and States
- Follow up to RO visits utilizing the protocol where significant opportunities for improvement are identified
- Urgent or Emergent follow-up in special circumstances
- State requests for consultation, triaged through RO/CO

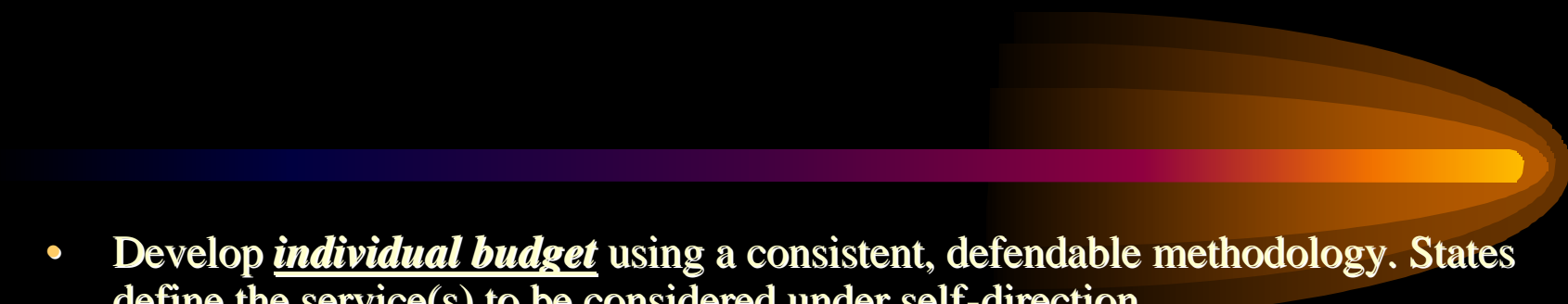
# *National Contractor for Quality*


- Contractors to assist in Root Cause Analysis and identification of quality improvement strategies
- NOT look-behind review
- NOT additional monitoring or review
- Repository of CMS Quality related tools, Technical Assistance & Training
- 2002 focus for MR/DD

# *Independence Plus*

- **Meet goals of *New Freedom Initiative***
  - *CMS* will develop simplified model waiver offering self-direction and technical assistance
- **National Listening Session**
  - More Control, Choices & Independence
- **1999 NCOA Administrator Survey**
  - State Administrators are interested
- **Positive experiences:**
  - *Cash & Counseling Demonstration*
  - *Self-Determination Project*
  - *IndependentChoices Project*

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- Solidify the CMS message to states; one that promotes self-direction
  - Provide streamlined, electronic application process/reduced federal review period
  - Identify essential elements of a viable self-directed programs
  - Provide formal technical assistance to states as they consider self-direction or enhance existing programs

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- Develop *individual budget* using a consistent, defensible methodology. States define the service(s) to be considered under self-direction
  - Establish sound *participant protections*
    - Ensure participant understands risks & responsibilities
    - Use of representatives or surrogates
    - Availability of criminal background checks
    - Comprehensive monitoring strategy
    - Coordinated incident management system
  - Articulate and coordinate *quality assurance and improvement* activities
    - Guide to measure program effectiveness/success/weakness
      - Through program reviews & participant feedback
    - Formal plan to consider program improvements
  - Use a Person-Centered Planning Process

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- [www.cms.hhs.gov](http://www.cms.hhs.gov)
  - [www.cms.hhs.gov/independenceplus](http://www.cms.hhs.gov/independenceplus)
  - [scrisp@cms.hhs.gov](mailto:scrisp@cms.hhs.gov)
  - [selfdirectionwavier@cms.hhs.gov](mailto:selfdirectionwavier@cms.hhs.gov)
  - [selfdirectiondemo@cms.hhs.gov](mailto:selfdirectiondemo@cms.hhs.gov)

## *Summary*

- Community-based Quality IS a focus for the future
- Coordinated, quality effort that utilizes prospective assurances and retrospective reviews, but will include concurrent quality improvements to further enable the full inclusion and participation of persons who are aged or with disabilities in communities of their choice.

## *Summary*

- Implementing systems of Self-directed supports and services **WILL** be a future focus for CMSO
- The functions of quality in Self-directed systems **IS** the future development arena