

COUNTY SURVEY RESULTS

N=83 counties and county consortia responding

A small number of items on the questionnaire provided an option for “don’t know.” The percentages reported below were calculated using the total number of responses from counties expressing an opinion and did not include in the total number of responses those counties responding “don’t know.”

1. To administer the MR/RC waiver, has your county ever had a formal or informal working relationship with other counties? *(Mark all that apply.)*

Number Percent N=83

40	48%	a. Yes, a formal relationship (e.g., joint powers agreement, memorandum of understanding, or contractual arrangement)
60	72	b. Yes, informal relationship (e.g., joint training or information sharing among participant counties)
30	36	Both formal and informal—counties responding ‘Yes’ to options a and b.
13	16	c. No <i>(Skip to Question 5.)</i>

2. If you checked 1.a. or 1.b. above, please check all activities in which the counties jointly participated. *(Mark all that apply.)*

Number Percent N=69

10	14%	a. Joint county delivery of MR/RC services
3	4	b. Shared staff among counties
51	74	c. Pooling of dollars for crisis-respite services
18	26	d. Pooling of other resources
17	25	e. Setting rates with providers
50	72	f. Developing standards or guidelines
55	80	g. Shared training among counties
34	49	h. Planning MR/RC programs
61	88	i. Networking with other county’s staff
17	25	j. Other <i>(Specify.)</i>

3. Does the formal or informal relationship still exist? *(Mark one for each row.)*

	Yes		No		Not Applicable
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
a. Formal relationship still exists N=39	15	38%	24	62%	30
b. Informal relationship still exists N=60	58	97	2	3	9
c. Relationship changed from formal to informal N=39	18	46	21	54	30
d. Relationship changed from informal to formal N=60	0	0	60	100	9

4. If you answered “No” to either 3.a. or 3.b. above, or “Yes” to 3.c. or 3.d., please identify the reasons the joint relationship ended or changed. (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<i>N</i> =25
19	76%	a. Change in how crisis respite services are funded
0	0	b. Partnership failed to meet its goals
2	8	c. Member counties lost interest
9	36	d. Liability concerns
13	52	e. Other (<i>Specify.</i>)

ELIGIBILITY AND CASE MANAGEMENT

5. In 2002, for about what proportion of MR/RC applicants was your county able to complete the comprehensive diagnostic evaluations (for determining eligibility) within 35 days of application? (Mark one.)

<u>Number</u>	<u>Percent</u>	<i>N</i> =79 valid responses
23	29%	1. 100% (Skip to Question 7.)
29	37	2. 90-99%
13	16	3. 75-89%
9	11	4. 50-74%
5	6	5. 0-49%
3		6. Don't know

6. If your county was not able to complete all diagnostic evaluations within 35 days for MR/RC applicants, what factors contributed to the delay? (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<i>N</i> =57
41	72%	a. Limited availability or number of psychologists to administer tests
7	12	b. Too few case managers
3	5	c. Staff turnover
45	79	d. Clients did not meet their responsibilities to complete the diagnostic evaluations
5	9	e. Difficulty getting interpreters or culturally appropriate testing
0	0	f. Not applicable
20	35	g. Other (<i>Specify.</i>)

7. When redetermining eligibility, does your county take steps to ensure that case managers review the MR/RC diagnosis at least once every three years? (Mark one.)

<u>Number</u>	<u>Percent</u>	<i>N</i> =82
8	10%	1. No
74	90	2. Yes (<i>Specify the steps.</i>)

8. On the average, how often does the county update MR/RC waiver recipient's individual service plans? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=83</u>
8	10%	1. More than once a year
73	88	2. Yearly
2	2	3. Every other year
0	0	4. Every three years
0	0	5. Every four or more years
0		6. Don't know

9. In 2002, for approximately what proportion of new MR/RC waiver recipients were screening teams able to meet within 60 days of the initial request for service? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=81 valid responses</u>
53	65%	1. 100% (Skip to Question 11.)
23	28	2. 90-99%
1	1	3. 75-89%
2	2	4. 50-74%
2	2	5. 0-49%
1		6. Don't know

10. If screening teams were not always able to meet within 60 days of the initial request for service, what factors contributed to delays? (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=29</u>
8	28%	a. High caseload
6	21	b. Too few case managers
1	3	c. Staff turnover
16	55	d. Clients did not meet their responsibilities to participate in a meeting
0	0	e. Not applicable
19	66	f. Other

11. At the end of calendar year 2002, how many full-time equivalent case managers (managing at least some MR/RC waiver recipients) were on staff? N=83

Mean	6.31
Median	3
Minimum	0.33
Maximum	111.5

12. At the end of calendar year 2002, what was the average total caseload for case managers that managed MR/RC waiver recipients? (If case managers administered cases in addition to MR/RC waiver recipients, include these cases in your count.) N=83

Mean	49.75
Median	50
Minimum	11
Maximum	85

13. Do case managers carry a mixed caseload of MR/RC waiver recipients and other cases (such as child protection)? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=83</u>
46	55%	1. All have mixed caseloads
24	29	2. Some have mixed caseloads
13	16	3. No case managers have mixed caseloads

14. Has your county set a standard for a minimum number of contacts between case managers and MR/RC waiver recipients or their families? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=83</u>
63	76%	1. Yes
20	24	2. No (Skip to Question 18.)

15. If you answered “Yes” to Question 14 above, what is your county’s minimum standard for contacts between case managers and MR/RC waiver recipients or their families? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=62</u>
0	0%	1. At least every two weeks
1	2	2. At least monthly
5	8	3. At least quarterly
55	89	4. At least twice a year
1	2	5. At least once a year
0	0	6. Other (Specify.) N=4 originally, recoded to ‘at least twice a year’ based on county responses.

16. In 2002, for about what proportion of MR/RC waiver recipients did case managers meet this standard? (Mark one.)

<u>Number</u>	<u>Percent</u>	<u>N=60 valid responses</u>
26	43%	1. 100% (Skip to Question 18.)
29	48	2. 90-99%
4	7	3. 75-89%
1	2	4. 50-74%
0	0	5. 25-49%
0	0	6. 0-24%
2	3	7. Don’t know

17. What were the primary reasons that case managers were unable to meet the standard? (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=35</u>
11	31%	a. High caseloads
17	49	b. Inconsistent or lack of MR/RC waiver recipient cooperation
25	71	c. Other demands on case managers’ time
18	51	d. Other (Specify.)

MR/RC SERVICES

- 18. Excluding consumer-directed community supports, has your county set limits on the services for MR/RC waiver recipients with similar needs, such as limiting the hours of respite care for less needy individuals?**
(Mark all that apply.)

Number Percent N=83

75	90%	a. All service amounts and types are determined on a case-by-case basis. (Skip to Question 20.)
4	5	b. We set limits on the amount of service
4	5	c. We set limits on the type of service
8	10	d. We limit the dollars that may be spent on specific services
4	5	e. We set a budget for each MR/RC waiver recipient before the services are determined

- 19. If you checked 18.b., 18.c., 18.d., or 18.e. above, please briefly describe the limits:** N=13 responses

- 20. In what ways does your county verify that individual service plans (ISPs) contain all information (as required by *Minnesota Rules 9525.0024*, subp. 3), such as the MR/RC waiver recipient's preferences in services or long- and short-term goals?** (Mark one for each row.)

	For All or Nearly All ISPs		For Most ISPs		For Some ISPs		For No ISPs		Don't Know
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
a. Case managers use their own methods to check ISPs N=81 valid responses	52	64%	4	5%	3	4%	22	27%	1
b. Case managers are required to use a checklist to verify information required in the ISP N=80 valid responses	12	15	0	0	4	5	64	80	1
c. Case managers are required to use an ISP form that includes all required information N=82	63	77	3	4	1	1	15	18	
d. Supervisors verify ISPs ¹ N=81	13	16	9	11	29	36	30	37	
e. Other (Specify.) N=8	6	75	1	13	1	13	8	0	

¹ Includes reviews by either coordinators or supervisors and verification as a part of case reviews.

21. As of the end of 2002, was the full range of MR/RC waiver services available for your county's MR/RC waiver recipients? (Mark one.)

Number Percent N=82

36	44%	1. Yes
46	56	2. No

Based on written responses from 55 counties, we categorized the responses of those answering "No" into three categories.

Number Percent N=55

10	12	Some non-CDCS services were not available
34	41	Only CDCS services were not available
2	2	Not all services, but all that were requested were available

22. If a service is not available within your county boundaries, what does your county do to try to make it available? (Mark all that apply.)

Number Percent N=81

57	70%	a. Issues a Request For Proposal for new providers
68	84	b. Obtains the service from providers in neighboring county
72	89	c. Approaches current providers for possible expansion of services
14	17	d. Other (<i>Specify.</i>)

23. What proportion of your county's MR/RC waiver recipients' needs are the available services able to meet (regardless of whether the service providers are located within or outside the county)? (Mark one.)

Number Percent N=81

51	63%	1. All or nearly all needs
28	35	2. Most needs
2	2	3. Some needs
0	0	4. No needs

24. Following the open enrollment period of April 2001 – July 2001, at about what point did MR/RC waiver recipients have access to all or nearly all services in their individual service plans (ISP)? (Mark one.)

Number Percent N=80

16	20%	1. July 2001
18	23	2. September 2001
24	30	3. December 2001
8	10	4. March 2002
5	6	5. June 2002
5	6	6. September 2002
2	3	7. December 2002
2	3	8. Later than December 2002

SERVICES USED BY MR/RC WAIVER RECIPIENTS BUT FUNDED ENTIRELY BY THE COUNTY

25. Does your county provide to MR/RC waiver recipients developmental disability services that are entirely county funded (not paid for with waiver dollars or by the state)? (Mark one.)

Number Percent N=83

56	67%	1. Yes
27	33	2. No (Skip to Question 28.)

26. For calendar year 2002, county-funded services were approximately what percentage of total MR/RC waiver expenditures? (Mark one.)

Number Percent N=47 valid responses

28	60%	1. Less than one percent
13	28	2. One to five percent
2	4	3. Six to ten percent
4	9	4. More than ten percent
9		5. Don't know

27. For calendar year 2002, what were the primary developmental disability services funded by the county (not paid for with waiver dollars or by the state) and used by MR/RC waiver recipients?

Number Percent N=56 All options were coded from counties' written responses.

50	89%	a. Employment, work, workshop
6	11	b. Respite
6	11	c. Guardian related
6	11	d. Basic needs, supplies, day habilitation
2	4	e. Mental Health
9	16	f. Transportation
4	7	g. Case management
5	9	h. Foster care

MANAGING MR/RC WAIVER FUNDS

28. How does your county verify that MR/RC waiver recipients actually receive authorized services billed by providers? (Mark all that apply.)

Number Percent N=83

62	75%	a. Routinely solicit feedback from recipients (expanded to include families)
52	63	b. Regularly review invoices submitted by providers
40	48	c. Monitor feedback from providers about service cancellations
64	77	d. Monitor periodic provider reports (expanded to include case audits)
77	93	e. Case managers periodically visit on-site to verify service delivery
2	2	f. No methods are used regularly
10	12	g. Other (Specify.)

- 29. Which, if any, of the following does your county consider when negotiating rates with providers.**
(Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=83</u>
74	89%	a. Historical rates
74	89	b. Department of Human Services' rate limits
24	29	c. Department of Human Services' guidance other than rate limits
57	69	d. Rates paid by another county
65	78	e. Rates paid for similar services provided or funded outside the waiver
71	86	f. Rates available from other providers in the county
48	58	g. Desire to ensure continued viability of local providers
0	0	h. None of the above
18	22	i. Other (Specify.)

- 30. Please indicate whether the county has taken steps to control rate increases.** (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=82</u>
35	43%	a. The county uses long-term contracts with providers
38	46	b. The county collects data to compare providers and encourage competition
51	62	c. The county takes other steps to control rate increases (If the county takes other steps, please describe them briefly.)
6	7	d. None

The next questions pertain to three services funded by the MR/RC waiver: adult supported living services, in-home family supports, and in-home respite care. Please indicate your county's experience for each of the three services. (Mark "Yes" or "No" in each column of each row.)

	a. Adult SLS (MMIS codes X5398, X5415, and X5416)				b. In-home Family Support (MMIS codes X5417 and X5418)				c. In-Home Respite Care (MMIS codes X5480 and X5481)			
	Yes		No		Yes		No		Yes		No	
	<u>#</u>	<u>%</u>	<u>#</u>	<u>%</u>	<u>#</u>	<u>%</u>	<u>#</u>	<u>%</u>	<u>#</u>	<u>%</u>	<u>#</u>	<u>%</u>
31. The county sets a flat dollar rate that applies to all providers.	3	4%	80	96%	10	12%	71	88%	12	15%	70	85%
32. The county sets a schedule of rates that applies to all providers but rates may vary by the severity of MR/RC waiver recipients' needs.	10	12	71	88	8	10	71	90	27	34	52	66
33. The county negotiates individual rates with each service provider.	79	95	4	5	72	89	9	11	67	82	15	18
34. Rates for services vary on a case-by-case basis.	70	85	12	15	54	67	27	33	62	77	19	23
35. The county follows some other process for negotiating rates.	11	14	69	86	8	10	70	90	9	11	70	89

The next questions pertain to three services funded by the MR/RC waiver: adult supported living services, in-home family supports, and in-home respite care. Please indicate your county's experience for each of the three services (continued). (Mark "Yes" or "No" in each column of each row.)

	a. Adult SLS (MMIS codes X5398, X5415, and X5416)				b. In-home Family Support (MMIS codes X5417 and X5418)				c. In-Home Respite Care (MMIS codes X5480 and X5481)			
	Yes		No		Yes		No		Yes		No	
	#	%	#	%	#	%	#	%	#	%	#	%
37. The county limits the number of units of service or dollars any MR/RC waiver recipient may receive.	33	40%	49	60%	34	43%	45	57%	36	45%	44	55%

36. If you answered "Yes" to Question 35 for any of the three services, please describe the negotiating process briefly.

- a. Adult Supported Living Services N=10 responses
- b. In-Home Family Support N=8 responses
- c. In-Home Respite Care N=9 responses

38. If you answered "Yes" to Question 37 for any of the three services, please explain.

- a. Adult Supported Living Services N=32 responses
- b. In-Home Family Support N=32 responses
- c. In-Home Respite Care N=34 responses

39. For the following three MR/RC waiver services, are the state-set rates or caps adequate in your county? (Mark one in each row.) N=82

State-Set Rates Are:

	Too High		Adequate		Too Low		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number
a. Day training and habilitation N=80 valid responses	9	11%	63	79%	8	10%	2
b. Case management N=83	0	0	72	87	11	13	0
c. Homemaker services N=70 valid responses	2	3	53	76	15	21	12

40. How does your county try to ensure that its waiver expenditures match its annual allowable MR/RC waiver dollars? (Mark all that apply.)

Number	Percent	N=83
35	42%	a. Authorize services beyond the county's allowable amount, knowing that fewer services will likely be used
77	93	b. Use the Waiver Management System (WMS) to monitor spending and simulate future spending
59	71	c. Other than WMS, frequently review actual use of waiver services
42	51	d. Other than WMS, when authorizing services, use methods to accurately predict level of an individual's service usage
31	37	e. Other (Specify.)

41. Beyond the Waiver Management System and Medicaid Management Information System reports from DHS, does your county have its own internal systems or methods to track waiver costs? (Mark one.)

Number Percent N=83

43 52% 1. Yes
40 48 2. No (Skip to Question 43.)

42. If you answered “Yes” to Question 41 above, what information does your county track? (Mark all that apply.)

Number Percent N=43

32 74% a. Service agreement authorizations
33 77 b. Changes to authorized services for individual MR/RC waiver recipients
29 67 c. Individual MR/RC waiver recipient spending
18 42 d. More timely data (than available from WMS) on the gap between paid claims and authorized services
11 26 e. Other (Specify.)

43. Given the information and tools currently available, how easy or difficult is it to manage the gap between allowable funding and your actual expenditures for the MR/RC waiver? (Mark one.) N=82 valid responses

Very Difficult		Difficult		Somewhat Difficult		Somewhat Easy		Easy		Very Easy		Don't Know
<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
34	41%	21	26%	24	29%	2	2%	0	0%	1	1%	1

44. What criteria are most important to your county when moving people from the waiting list or pool onto the MR/RC waiver? (Mark one for each row.)

	Very Important		Important		Somewhat Important		Not Important		Don't Know
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
a. Determination that needs cannot be met by another funding source N=83	36	43%	34	41%	12	14%	1	1%	
b. Client received crisis services N=82 valid responses	22	27	35	43	25	30	0	0	1
c. Imminent risk to health and safety, such as exhibiting behaviors that are dangerous to self or others N=83	78	94	5	6	0	0	0	0	
d. In need of services within next 12 months N=81	8	10	26	32	43	53	4	5	
e. Would fill current or newly created residential opening N=81 valid responses	1	1	11	14	30	37	39	48	2

44. What criteria are most important to your county when moving people from the waiting list or pool onto the MR/RC waiver (continued)? (Mark one for each row.)

	Very Important		Important		Somewhat Important		Not Important		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
f. Desire to leave current ICF/MR placement N=82 valid responses	13	16%	30	37%	38	46%	1	1%	1
g. ICF/MR downsizing or closing N=82 valid responses	42	51	32	39	5	6	3	4	1
h. Length of time on waiting list N=82 valid responses	3	4	26	32	39	48	14	17	1
i. Services can be provided within available funding N=83	26	31	37	45	17	20	3	4	
j. At risk of out-of-home placement N=83	65	78	17	20	1	1	0	0	
k. Waiver will prevent institutionalization N=83	64	77	17	20	2	2	0	0	
l. Severity of disability N=83	21	25	39	47	19	23	4	5	
m. Other (Specify.) N=7	4	57	2	29	1	14	0	0	

45. Does your county have an internal process to reconcile potential appeals prior to filing formal appeals or holding conciliation conferences? (Mark one.)

Number Percent N=83

67 81% 1. Yes

16 19 2. No (Skip to Question 47.)

46. If you answered "Yes" to Question 45 above, please mark the options that best describe your process. (Mark all that apply.)

Number Percent N=67

63 94% a. Additional meeting with client and family

62 93 b. Supervisor review of case

43 64 c. Team review of case

21 31 d. County ombudsman or other third party review

6 9 e. Other (Specify.)

47. What percentage of the 2003 MR/RC waiver budget is set aside for the reserve account? _____ %
N=81

<u>Percentage Set Aside</u>	<u>Number</u>	<u>Percent</u>
0	36	44%
2	2	3
2.5	1	1
3	6	8
3.5	1	1
4	1	1
5	32	40
6.5	1	1
10	1	1

48. What percentage of the 2002 MR/RC waiver budget was set aside for the reserve account? _____ %
N=79

<u>Percentage Set Aside</u>	<u>Number</u>	<u>Percent</u>
0	36	46%
1	1	1
2	1	1
2.5	1	1
3	7	9
3.5	1	1
5	29	37
8	1	1
10	2	3

CONSUMER-DIRECTED COMMUNITY SUPPORTS

49. Does your county currently offer Consumer-Directed Community Supports (CDCS)? *(Mark one.)*

Number Percent N=83

28 34% 1. Yes
5 6 3. Offer, no use
50 60 2. No *(Skip to Question 59.)*

50. In your county, how does the level of effort required to administer CDCS compare to that for MR/RC waiver services in general? *(Mark one for each row.)*

	<u>Much Less</u>		<u>Less</u>		<u>About the Same</u>		<u>More</u>		<u>Much More</u>		<u>Don't Know</u>
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
a. Need for administrative planning N=25 valid responses	0	0%	0	0%	3	12%	6	24%	16	64%	4
b. Case manager time N=25 valid responses	0	0	1	4	2	8	8	32	14	56	4

50. In your county, how does the level of effort required to administer CDCS compare to that for MR/RC waiver services in general (continued)? (Mark one for each row.)

	Much Less		Less		About the Same		More		Much More		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
c. Number of MR/RC staff N=25 valid responses	0	0%	0	0%	16	64%	6	24%	3	12%	4
d. Spending on services N=26 valid responses	0	0	5	20	15	60	2	8	3	12	4
e. Administrative spending N=24 valid responses	0	0	2	9	7	30	10	43	4	17	5

51. In your opinion, how much more or less value for the dollar do CDCS services have compared to traditional MR/RC waiver services? (Mark one.)

CDCS offers: N=26 valid responses										
Much More Value		Somewhat More Value		About the Same Value		Less Value		Much Less Value		Don't Know
Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
3	12%	16	62%	5	19%	2	8%	0	0%	4

52. In what ways does your county control the types of CDCS services that recipients may select? (Mark one for each row.)

	Does Consistently		Does Somewhat		Does Not Do		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number
a. Case manager or team decides based on perceived MR/RC waiver recipient needs N=28 valid responses	22	79%	4	14%	2	7%	2
b. Follow guidance from the Department of Human Services N=27 valid responses	19	70	7	26	1	4	2
c. Follow county policy describing general parameters for allowable services N=27 valid responses	26	96	1	4	0	0	2
d. Use county list of disallowed items N=27 valid responses	17	65	3	12	6	23	4
e. Use county list of allowed items N=27 valid responses	14	52	5	19	8	30	3
f. Rely on MR/RC waiver recipient's choices (within budget limits and state parameters) N=30 valid responses	17	59	12	41	0	0	1
g. Other (Specify.) N=6	6	100	0	0	0	0	25

- 53. What assistance, if any, does your county offer to help waiver recipients obtain CDCS services?**
(Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=31</u>
19	63%	a. Provide orientation meeting
9	30	b. Provide on-going training beyond the orientation meeting
6	20	c. Coordinate provider seminars to inform MR/RC waiver recipients of available services
23	77	d. Assist in selecting fiscal agents ADD including information about fiscal agents
30	100	e. Provide one-on-one information through case managers
27	90	f. Supply written background material
0	0	g. None
6	20	h. Other (<i>Specify.</i>)

- 54. On what does your county base an MR/RC waiver recipient's initial CDCS budget?** (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=29</u>
13	46%	a. Cost of traditional MR/RC services <u>authorized</u> for the MR/RC waiver recipient
3	11	b. Cost of traditional MR/RC services <u>authorized</u> for the MR/RC waiver recipient but discounted by a specific percentage
18	64	c. Cost of previous MR/RC services <u>used</u> by the MR/RC waiver recipient
12	43	d. <u>Budgets</u> set for other CDCS recipients with similar needs
13	46	e. Cost of services <u>used</u> by traditional MR/RC waiver recipients with similar needs
7	25	f. Other (<i>Specify.</i>)

- 55. What guidelines does your county follow when MR/RC waiver recipients want to change their CDCS budgets?** (Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=28</u>
25	89%	a. Case manager or team must approve any changes
14	50	b. Case manager may approve certain small changes requested by the MR/RC waiver recipient
2	7	c. Changes are limited to those considered during annual or bi-annual review
11	39	d. MR/RC waiver recipients may make changes as long as they stay within a stated limit
4	14	e. MR/RC waiver recipients may make any change to better meet their needs
6	21	f. Other (<i>Specify.</i>)

- 56. How does your county oversee CDCS spending by individual MR/RC waiver recipients?**
(Mark all that apply.)

<u>Number</u>	<u>Percent</u>	<u>N=29</u>
22	76%	a. Require monthly or quarterly reports from fiscal agents
4	14	b. Require reports from fiscal agents on an exception basis when spending differs from budgets by a certain amount
11	38	c. Use internal tracking mechanism to review spending amounts and types
16	55	d. Limit amounts that may be spent on specific services
23	79	e. County reviews expenditures for compliance with authorized services in the care plan

56. How does your county oversee CDCS spending by individual MR/RC waiver recipients (continued)?
(Mark all that apply.)

Number Percent N=29

15	52%	f. Fiscal agent reviews expenditures for compliance with authorized services in the care plan
22	76	g. County reviews expenditures for compliance with MR/RC waiver recipients' budgets
20	69	h. Communicate regularly with MR/RC waiver recipients about current expenditures
0	0	i. The county does not oversee MR/RC waiver recipient spending, and following initial instructions, MR/RC waiver recipients oversee their own spending
5	17	j. Other (Specify.)

57. Does your county have a policy terminating the use of CDCS for misuse? (Mark one.)

Number Percent N=29

4	14%	1. No
25	86	2. Yes (Specify.)

58. To what extent would state assistance be useful to your county for working with CDCS? (Mark one per row.)

	Very Useful		Useful		Somewhat Useful		Not Useful		Don't Know
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>
a. General parameters outlining allowable use of CDCS money N=30	23	77%	4	13%	1	3%	2	7%	
b. Training for county staff working with CDCS N=30	14	47	10	33	4	13	2	7	
c. Training for recipients and families receiving CDCS N=30	12	40	8	27	6	20	4	13	
d. Training for fiscal agents working with CDCS recipients N=29 valid responses	10	34	11	38	4	14	4	14	1
e. Specifications for allowable environmental modifications and equipment N=29 valid responses	22	76	3	10	3	10	1	3	1
f. Cost estimates for environmental modifications and equipment N=29 valid responses	14	48	7	24	6	21	2	7	1
g. Standardized budget worksheets N=30	19	63	4	13	3	10	4	13	

58. To what extent would state assistance be useful to your county for working with CDCS (continued)?

(Mark one per row.)

	Very Useful		Useful		Somewhat Useful		Not Useful		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
h. Requirements on allowable uses of CDCS money N=28 valid responses	23	82	3	11	1	4	1	4	1
i. Limits on amounts allowed for a single expense, e.g. home modifications N=28 valid responses	14	50%	5	18%	4	14%	5	18%	1
j. State-set recipient budgets calculated using a formula N=27 valid responses	15	56	6	22	1	4	5	19	3
k. Other (Specify.) N=9	9	100	0	0	0	0	0	0	

GENERAL QUESTIONS ON THE MR/RC WAIVER

59. To what extent would additional state assistance be useful for administering the MR/RC waiver overall?

(Mark one per row.)

	Very Useful		Useful		Somewhat Useful		Not Useful		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
a. More frequent training for case managers N=81 valid responses	30	37%	28	35%	18	22%	5	6	1
b. Specifications for environmental modifications and equipment N=81 valid responses	25	31	34	42	18	22	4	5	2
c. Cost estimates for environmental modifications and equipment N=79 valid responses	20	25	34	43	18	23	7	9	4
d. Assistance in budgeting and managing MR/RC waiver funds N=79 valid responses	33	42	23	29	12	15	11	14	2
e. Methods to monitor spending on a real-time basis N=80 valid responses	55	69	14	18	10	13	1	1	3
f. Methods to monitor delivery of services N=80 valid responses	16	20	28	35	24	30	12	15	2
g. Regular communication from the Department of Human Services N=81 valid responses	28	35	38	47	13	16	2	2	2
h. Mechanism for providing regular county input to the department N=81 valid responses	42	52	28	35	11	14	0	0	2

59. To what extent would additional state assistance be useful for administering the MR/RC waiver overall (continued)? *(Mark one per row.)*

	Very Useful		Useful		Somewhat Useful		Not Useful		Don't Know
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number
i. Other (Specify.) N=19	17	89	2	11	0	0	0	0	
j. Other (Specify.) N=8	6	75	2	25	0	0	0	0	

60. What was your county's experience under the 2003 rebasing? *(Use additional paper if necessary.)*

Number Percent N=83

80 96 Provided a written response
3 4% Did not provide a written response

Based on counties' written responses, OLA staff created the following categories for Question 60 responses and coded county responses accordingly. In most cases county responses pertained to more than one of the 12 categories.

Number Percent N=80 with comments

19	24%	a. Penalized for good management/conservative approach/efficiency slots; rewards overspending
27	34	b. Budget reduction and continuing deficit
39	49	c. Confusion about ultimate impact of rebasing, injunction, lack of communication from DHS, moving fiscal target
21	26	d. Need to more closely monitor overall budget/spending/payment gap, need better system
25	31	e. Froze/reduced individual budgets/services, examined budgets more closely
10	13	f. Waiting list growing/unable to serve, not filling "open" slots
29	36	g. Concerns about meeting changing needs, especially transition from HS, high need clients, crisis funds
22	28	h. Limited new services, mostly for health and safety
10	13	i. Unable to meet individual needs
11	14	j. Comments about the negative impacts including open enrollment and shift to paid claims rather than authorized expenditures
32	40	k. Bad methodology in rebasing, including shift from fiscal year to calendar year, combining crisis funding, inability to plan for residential settings
74	93	l. County believes it is likely to overspend its authorization

61. If you would like to make further comments about your county's administration of the MR/RC waiver or other issues related to the waiver, please do so. *(Use additional paper if necessary.)*

Number Percent N=83

31 37% Did not provide a written response
52 63 Provided a written response