SELF-ASSESSMENT OF STRATEGIES FOR EXPANDING THE SYSTEM OF CARE APPROACH

Developed by Beth A. Stroul, M.Ed. and Robert M. Friedman, Ph.D.  
(November 22, 2013 Revision)

STATE:                                          DATE COMPLETED:

ASSESSMENT COMPLETED BY:                     
Name:                                         
Title:                                        
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INSTRUCTIONS
This assessment is designed as a self-administered tool to explore the implementation of an array of strategies that may be used by states, tribes, territories, and communities (hereafter referred to as states) to expand the system of care approach, with the goal of implementing the system of care philosophy and approach statewide and throughout tribes and territories. (For your information, the system of care philosophy is detailed in an appendix to this assessment tool.)

No state is expected to use all of the strategies listed below. Rather, each state will employ the mix of strategies deemed most appropriate and effective in their unique context and environment. Further, this self-assessment process is not intended to be used as an evaluation, but as a technical assistance tool to identify areas of strength and potential opportunities and to provide a basis for the development of a comprehensive strategic plan for expanding the system of care approach. It is intended to measure progress in implementing each strategy; it is not expected that there will be extensive progress in all areas. Rating progress objectively will enhance the usefulness of this tool in creating a strategic plan to move further toward expansion of the system of care approach.

To complete the assessment, rate the progress that your state has achieved in implementing each strategy that may be used as part of your efforts to expand the system of care approach. If you have purposefully not elected to use a particular strategy, mark the box labeled “None.”

RATING OF OVERALL PROGRESS TO DATE IN EXPANDING THE SYSTEM OF CARE APPROACH STATEWIDE:

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<th>Rating of Progress:</th>
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I. IMPLEMENTING POLICY, REGULATORY, AND PARTNERSHIP CHANGES

Making state-level policy, regulatory, and partnership changes that infuse and institutionalize the system of care philosophy and approach into the larger service system to support expansion of the system of care approach

1. Establishing an Ongoing Locus of Management and Accountability for Systems of Care

   a) Creating or assigning a viable, ongoing focal point of management and accountability at the state level (e.g., agency, office, staff) to support expansion of the system of care approach

      0= None  1= Some  2= Moderate  3= Significant  4= Extensive

      Rating of Progress:  [ ]  [ ]  [ ]  [ ]  [ ]

      Notes:

   b) Creating or assigning viable, ongoing focal points of accountability and management at the local level (e.g., agency, office, staff) to support expansion of the system of care approach

      0= None  1= Some  2= Moderate  3= Significant  4= Extensive

      Rating of Progress:  [ ]  [ ]  [ ]  [ ]  [ ]

      Notes:

2. Developing and Implementing Strategic Plans

   Developing and implementing strategic plans that establish the system of care philosophy and approach as goals for the state’s service delivery system to support expansion of the system of care approach

      0= None  1= Some  2= Moderate  3= Significant  4= Extensive

      Rating of Progress:  [ ]  [ ]  [ ]  [ ]  [ ]

      Notes:

3. Strengthening Interagency Collaboration

   a) Developing interagency structures to set policy, guide, and support expansion of the system of care approach

      0= None  1= Some  2= Moderate  3= Significant  4= Extensive

      Rating of Progress:  [ ]  [ ]  [ ]  [ ]  [ ]

      Notes:
b) Incorporating the system of care philosophy and approach into memoranda of understanding and interagency agreements to support expansion of the system of care approach

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Notes:

c) Cultivating strong interagency relationships and partnerships to coordinate and/or finance systems of care to support expansion of the system of care approach

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Notes:

4. Promulgating Rules, Regulations, Standards, Guidelines, and Practice Protocols

a) Promulgating rules and regulations that require elements of the system of care philosophy and approach to support expansion of the system of care approach

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Notes:

b) Developing guidelines, standards, or practice protocols based on the system of care philosophy and approach to support expansion of the system of care approach

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Notes:
5. **Incorporating the System of Care Approach in Requests for Proposals (RFPs) and Contracts**

Incorporating requirements for elements of the system of care philosophy and approach in RFPs and contracts with providers and managed care organizations to support expansion of the system of care approach

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Notes:

6. **Enacting Legislation**

Passing legislation that supports the system of care philosophy and approach to support expansion of the system of care approach

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Notes:

7. **Incorporating the System of Care Approach in Monitoring Protocols**

Incorporating the system of care philosophy and approach into protocols to monitor compliance with system of care requirements among providers and managed care organizations to support expansion of the system of care approach

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Notes:

8. **Implementing Outcome Measurement and Quality Improvement Systems**

Incorporating the system of care philosophy and approach into data systems for outcome measurement and quality improvement efforts to support expansion of the system of care approach

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Notes:
9. Linking With and Building on Other System Change Initiatives

Linking with and building on existing and emerging system change initiatives in the state (e.g., health reform, parity legislation, reforms in other systems) to support expansion of the system of care approach

Rating of Progress: 0=None 1=Some 2=Moderate 3=Significant 4=Extensive

Notes:

10. Expanding Family and Youth Partnerships at the Policy Level

Creating or expanding family and youth involvement and partnerships at the policy and system level to support expansion of the system of care approach

Rating of Progress: 0=None 1=Some 2=Moderate 3=Significant 4=Extensive

Notes:

11. Improving Cultural and Linguistic Competence at the Policy Level and Incorporating Strategies to Eliminate Disparities

Incorporating strategies to improve the cultural and linguistic competence at the system level and to eliminate disparities to support expansion of the system of care approach

Rating of Progress: 0=None 1=Some 2=Moderate 3=Significant 4=Extensive

Notes:
II. DEVELOPING OR EXPANDING SERVICES AND SUPPORTS BASED ON THE SYSTEM OF CARE PHILOSOPHY AND APPROACH

Implementing the systemic changes needed to develop and expand a broad array of home- and community-based services and supports that are individualized, coordinated, family driven, youth guided, and culturally and linguistically competent to support expansion of the system of care approach

1. Creating or Expanding a Broad Array of Services

Creating or expanding a broad range of home- and community-based services and supports that are consistent with the system of care philosophy and approach to improve outcomes to support expansion of the system of care approach

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2. Creating or Expanding an Individualized Approach to Service Delivery

Creating or expanding an individualized, wraparound approach to service planning and delivery to support expansion of the system of care approach

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3. Creating or Expanding Care Management Entities

Creating or expanding care management entities to serve as the focal point of accountability and responsibility for managing the services, costs, and care management for children with intensive service needs and their families to support expansion of the system of care approach

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4. Creating or Expanding Care Coordination and Care Management

Creating or expanding care coordination and care management approaches to support expansion of the system of care approach

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Notes:

5. Creating or Expanding Family-Driven and Youth-Guided Services and Expanding Family and Youth Involvement in Service Delivery

Creating or expanding family-driven and youth-guided services and expanding family and youth involvement in the planning and delivery of their own services to improve outcomes to support expansion of the system of care approach

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Notes:

6. Creating, Expanding, or Changing the Provider Network

a) Creating, expanding, or changing the provider network by adding new types of home- and community-based providers, changing licensing and certification, etc. to support expansion of the system of care approach

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Notes:

b) Creating, expanding, or changing the provider network by retooling community and residential providers to provide services that are aligned with the system of care philosophy and to diversify the services they offer to support expansion of the system of care approach

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Notes:
7. Creating or Expanding the Use of Evidence-Informed and Promising Practices and Practice-Based Evidence Approaches

Creating or expanding the use of evidence-informed and promising practices and practice-based evidence approaches within systems of care that improve outcomes to support expansion of the system of care approach

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Notes:

8. Improving the Cultural and Linguistic Competence of Services

Creating or expanding the use of culturally and linguistically competent approaches to service delivery to improve outcomes to support expansion of the system of care approach

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Notes:

9. Reducing Racial, Ethnic, and Geographic Disparities in Service Delivery

Developing and implementing strategies directed at reducing racial, ethnic, and geographic disparities in service delivery across child-serving systems to support expansion of the system of care approach

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Notes:

10. Implementing or Expanding the Use of Technology

Implementing or expanding the use of technology (e.g., electronic medical records, telemedicine, videoconferencing, e-therapy) to support expansion of the system of care approach

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Notes:
III. CREATING OR IMPROVING FINANCING STRATEGIES

Creating or improving financing mechanisms and using funding sources more strategically to support the infrastructure and services comprising systems of care to support expansion of the system of care approach

1. Increasing the Use of Medicaid

Increasing the use of Medicaid to finance services by adding new services, changing existing service definitions, obtaining waivers, using EPSDT, using the rehabilitation option, etc., to finance services and supports to support expansion of the system of care approach

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Notes:

2. Increasing the Use of Federal Grants to Finance Systems of Care

a) Maximizing the use of federal system of care grants to develop infrastructure and/or services and to leverage other long-term funding to support expansion of the system of care approach

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Notes:

b) Maximizing federal Mental Health Block Grant funds to finance infrastructure and/or services to support expansion of the system of care approach

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Notes:

c) Maximizing other federal grant funds to finance infrastructure and/or services to support expansion of the system of care approach

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Notes:
3. **Redeploying Funds from Higher-Cost to Lower-Cost Services**

Redeploying, redirecting, or shifting funds from higher-cost to lower-cost services to finance infrastructure and/or services to support expansion of the system of care approach

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**Notes:**

4. **Implementing Case Rates or Other Risk-Based Financing Approaches**

Implementing case rates or other risk-based financing approaches to increase flexibility in financing services and supports to support expansion of the system of care approach

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**Notes:**

5. **Increasing the Use of State Mental Health and Substance Use Funds**

a) Obtaining new or increased state mental health funds to support system of care infrastructure and services to support expansion of the system of care approach

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**Notes:**

b) Obtaining new or increased state substance use funds to support system of care infrastructure and services to support expansion of the system of care approach

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**Notes:**
6. Increasing the Use of Funds from Other Child-Serving Systems
   a) Obtaining new or increased funds from other child-serving agencies to finance infrastructure and/or services to support expansion of the system of care approach

   Rating of Progress: [Blank]

   Notes:

   b) Coordinating, braiding, blending, or pooling funds with other child-serving agencies to finance infrastructure and/or services to support expansion of the system of care approach

   Rating of Progress: [Blank]

   Notes:

7. Increasing the Use of Local Funds

   Obtaining new or increased local funds (e.g., taxing authorities, special funding districts, county funds) to finance infrastructure and/or services to support expansion of the system of care approach

   Rating of Progress: [Blank]

   Notes:

8. Increasing the Use of Federal Entitlements Other Than Medicaid

   Increasing the use of federal entitlements other than Medicaid to finance infrastructure and/or services to support expansion of the system of care approach

   Rating of Progress: [Blank]

   Notes:
9. Accessing New Financing Structures and Funding Streams

Accessing new financing structures and funding streams (e.g., health reform, parity legislation) to support expansion of the system of care approach

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Notes:

IV. PROVIDING TRAINING, TECHNICAL ASSISTANCE, AND COACHING

*Implementing workforce development mechanisms to provide ongoing training, technical assistance, and coaching to ensure that providers are prepared and skilled to provide effective services and supports consistent with the system of care philosophy and approach*

1. Providing Training, Technical Assistance, and Coaching on the System of Care Approach

Providing ongoing training, technical assistance, and coaching on the system of care philosophy and approach to support expansion of the system of care approach

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2. Creating Ongoing Training and Technical Assistance Capacity

Creating the capacity for ongoing training, technical assistance, and coaching on systems of care and evidence-informed services (e.g., institutes, centers of excellence, TA centers, other intermediary organizations, partnerships with higher education) to support expansion of the system of care approach

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Notes:

Providing ongoing training on evidence-informed and promising practices and practice-based evidence approaches to support high-quality and effective service delivery to support expansion of the system of care approach

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Notes:

V. GENERATING SUPPORT

Generating support among high-level decision makers at state and local levels, providers, managed care organizations, families, and youth and other key leaders through strategic communications to support expansion of the system of care approach

1. Establishing Strong Family and Youth Organizations

   a) Establishing a strong family organization to support and be involved in expansion of the system of care approach (e.g., through funding, involvement at the system and policy levels, contracting for training and services)

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   Notes:

   b) Establishing a strong youth organization to support and be involved in expansion of the system of care approach (e.g., through funding, involvement at the system and policy levels, contracting for training and services)

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   Notes:
2. Generating Support Among Administrators and Policy Makers

a) Generating political and policy-level support for the system of care philosophy and approach among high-level administrators and policy makers at the state level for expansion of the system of care approach

0= None  1=Some  2=Moderate  3=Significant  4=Extensive

Rating of Progress:  ☐  ☐  ☐  ☐  ☐

Notes:

b) Generating political and policy-level support for the system of care philosophy and approach among high-level administrators and policy makers at the local level for expansion of the system of care approach

0= None  1=Some  2=Moderate  3=Significant  4=Extensive

Rating of Progress:  ☐  ☐  ☐  ☐  ☐

Notes:

3. Using Data

a) Using data on the outcomes of systems of care and services to promote expansion of the system of care approach

0= None  1=Some  2=Moderate  3=Significant  4=Extensive

Rating of Progress:  ☐  ☐  ☐  ☐  ☐

Notes:

b) Using data on cost avoidance across systems and comparison with high-cost services to promote expansion of the system of care approach

0= None  1=Some  2=Moderate  3=Significant  4=Extensive

Rating of Progress:  ☐  ☐  ☐  ☐  ☐

Notes:
4. **Cultivating Partnerships With Other Key Leaders**

   a) Cultivating partnerships with provider agency and organization leaders, managed care organizations, etc., to support expansion of the system of care approach

   Rating of Progress:

<table>
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<th>0= None</th>
<th>1= Some</th>
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   Notes:

   b) Cultivating partnerships with civic leaders and other key leaders to support expansion of the system of care approach

   Rating of Progress:

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<th>1= Some</th>
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   Notes:

5. **Generating Broad-Based Support Through Social Marketing and Strategic Communications**

   Informing key constituencies about the value and merits of expanding the system of care approach through social marketing and strategic communications

   Rating of Progress:

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<th>0= None</th>
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   Notes:

6. **Cultivating Leaders**

   Cultivating ongoing leaders and champions for the system of care philosophy and approach to support expansion of the system of care approach (e.g., through training, leadership development activities)

   Rating of Progress:

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   Notes:
MOST SIGNIFICANT STRATEGIES

Of the strategies above, specify 5 strategies that have been the most significant in your progress in expanding systems of care to date:

1. 
2. 
3. 
4. 
5. 

STATE–COMMUNITY PARTNERSHIPS FOR EXPANDING THE SYSTEM OF CARE APPROACH

Indicate the ways in which state-community partnerships have been created to support expansion of the system of care approach:

*Communities are strategically engaged as partners in system of care expansion to do the following:*

- Test, pilot, demonstrate, and explore the feasibility of approaches to developing and expanding systems of care that can be applied in other communities in the state
- Provide training and technical assistance to other communities in the state
- Provide data on the outcomes of systems of care at the system and service delivery levels and cost avoidance for making the case for expanding the system of care approach
- Participate in planning for expansion of the system of care approach
- Generate support and commitment for the system of care philosophy and approach among high-level policy makers and administrators
- Contribute to the development of family organizations in the state
- Provide seasoned leaders who then contribute to future system of care expansion efforts at the state and/or local levels
- Other (specify) ________________________________
POTENTIAL CHALLENGES TO STATEWIDE SYSTEM OF CARE EXPANSION

Indicate the potential challenges and barriers to statewide system of care expansion:

☐ Fiscal crises and budget cuts
☐ Changes in administration or leadership that result in policy changes
☐ Lack of institutionalization of the system of care philosophy and approach in legislation, plans, regulations, and other policy instruments
☐ Inability to obtain Medicaid financing for services and supports
☐ Inability to obtain or redirect other funds for services and supports
☐ Lack of data to make the case for statewide development of systems of care
☐ Lack of ongoing training
☐ Lack of a children’s mental health workforce trained in system of care philosophy and approach
☐ Insufficient buy-in to the system of care philosophy and approach among high-level administrators and policy makers at the state level
☐ Insufficient buy-in to the system of care philosophy and approach among high-level administrators and policy makers at the local level
☐ Insufficient buy-in to the system of care philosophy and approach among provider agencies, program managers, clinicians, managed care organizations, etc.
☐ Insufficient buy-in and shared financing from other child-serving systems for expansion of the system of care approach
☐ Lack of support and advocacy among families, family organizations, youth, youth organizations, advocacy groups, and so forth for expansion of the system of care approach
☐ Shift in focus to the implementation of health care reform and parity legislation
☐ Lack of coordination and linkage with other system change initiatives in the state (e.g., health reform, parity legislation, reform initiatives in other child-serving systems)
☐ Other (specify) ________________________________
APPENDIX

SYSTEM OF CARE CONCEPT AND PHILOSOPHY

DEFINITION
A system of care is:
A spectrum of effective, community-based services and supports for children and youth with or at risk for mental health or other challenges and their families, that is organized into a coordinated network, builds meaningful partnerships with families and youth, and addresses their cultural and linguistic needs, in order to help them to function better at home, in school, in the community, and throughout life.

CORE VALUES
Systems of care are:
1. Family driven and youth guided, with the strengths and needs of the child and family determining the types and mix of services and supports provided.
2. Community based, with the locus of services as well as system management resting within a supportive, adaptive infrastructure of structures, processes, and relationships at the community level.
3. Culturally and linguistically competent, with agencies, programs, and services that reflect the cultural, racial, ethnic, and linguistic differences of the populations they serve to facilitate access to and utilization of appropriate services and supports.

GUIDING PRINCIPLES
Systems of care are designed to:
1. Ensure availability of and access to a broad, flexible array of effective, evidence-informed, community-based services and supports for children and their families that addresses their physical, emotional, social, and educational needs, including traditional and nontraditional services as well as informal and natural supports.
2. Provide individualized services in accordance with the unique potential, strengths, and needs of each child and family, guided by an individualized, “wraparound” service planning process and an individualized service plan developed in true partnership with the child and family.
3. Deliver services and supports within the least restrictive, most normative environments that are clinically appropriate.
4. Ensure that families, other caregivers, and youth are full partners in all aspects of the planning and delivery of their own services and the policies and procedures that govern care for all children and youth in their community, state, territory, tribe, and nation.
5. Ensure cross-system collaboration, with linkages among child-serving systems and mechanisms for system-level management, coordination, and integrated management of service delivery and costs.
6. Provide care management or similar mechanisms to ensure that multiple services are delivered in a coordinated and therapeutic manner and that children and their families can move through the system of services in accordance with their changing needs.
7. Provide developmentally appropriate mental health services and supports that promote optimal social-emotional outcomes for young children and their families in their homes and community settings.
8. Provide developmentally appropriate services and supports to facilitate the transition of youth to adulthood and to the adult service system as needed.
9. Incorporate or link with mental health promotion, prevention, and early identification and intervention to improve long-term outcomes, including mechanisms to identify problems at an earlier stage and mental health promotion and prevention activities directed at all children and adolescents.
10. Incorporate continuous accountability mechanisms to track, monitor, and manage the achievement of system of care goals; fidelity to the system of care philosophy; and quality, effectiveness, and outcomes at the system level, practice level, and child and family level.
11. Protect the rights of children and families and promote effective advocacy efforts.
12. Provide services and supports without regard to race, religion, national origin, gender, gender expression, sexual orientation, physical disability, socio-economic status, geography, language, immigration status, or other characteristics, and services should be sensitive and responsive to these differences.