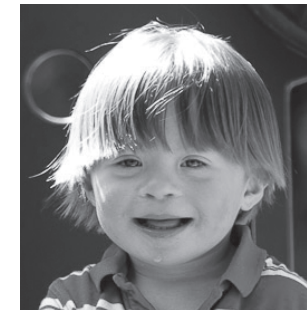
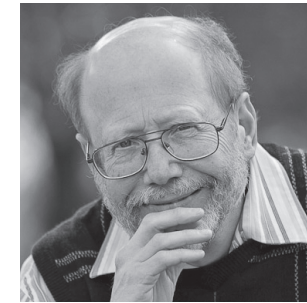




Tri-Counties Regional Center

SAN LUIS OBISPO • SANTA BARBARA • VENTURA

Strategic Performance Plan 2013-2015



Mid Year Report
2014



Strategic Focus Areas

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Strategic Focus Area 1 - Family Support

Defined As:

TCRC consistently provides information and support to help families adapt to the impact of disability particularly at the time of diagnosis and during age related life transitions.

Strategic Issues:

- Families with children diagnosed with a developmental disability often need support in processing the significant emotional impact.

- There is a legislative emphasis on transition, in particular the transfer of services and supports and case management from Early Start to Regional Center services and from Children's services to Adult services.
- There is an ongoing need for individuals approaching adulthood for resources around employment, housing, day programs, transportation.

Desired Outcome: What does TCRC want to achieve?

- Families have information and are supported to make decisions at the time of diagnosis and during age related life transitions.



How will we know we are making progress?

Outcome Measures

	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Families receive information and resources at the time of diagnosis, upon transition from Early Start services, and upon transition from school to adult services.	Brochures (Early Start, Turning Age Three, Transition to Adult Services) in development.	Continue to create materials, establish infrastructure, implement the plan.	Implementation begun Brochures developed Evaluating internal processes.	N/A	N/A	On Track
Intake		Yes/No	Yes	N/A	N/A	On Track
Early Start		Yes/No	Yes	N/A	N/A	On Track
Adulthood		Yes/No	Yes	N/A	N/A	On Track
b. Children Residing with Families (DDS Performance Contract Measure)	99.04 % (5927)	98.00% - 100.00%	99.23% (6163)	99.01%	▲	On Track

Note: Outcome measures in bold denote alignment with implementation of Trailer Bill Language. (P) = DDS Performance Contract Measure. Goal for (P) measure is met when current TCRC # 1) meets or exceeds state average; 2) is better than TCRC baseline; 3) meets DDS Standard. ▲ Indicates that a higher value is better and ▼ indicates a lower value is better.



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Strategic Actions:

Topic	Description	Current Progress
1. Assess resources	Map out existing internal capacity and processes, and external resources.	Resources assessed in 2013. Update provided in 2013 End of Year report.
2. What is Working/Not Working	Gather input about what is currently Working/Not Working regarding support, from families, partners and staff.	Input from surveys and focus group was used to outline a plan to enhance transition resources and support. Early Start brochure was distributed to all TCRC offices and Family Resource Centers. This version has an updated cover and more family friendly Spanish translation.
3. Plan Template	Create template for plan for each age related area.	<p>Intake and Transition to Children’s Services workgroup created implementation plan and timeline; areas of emphasis include:</p> <ul style="list-style-type: none"> ▪ Work has started to create a resource packet for families. ▪ We are working with the TCRC clinical team to develop opportunities to enhance support for families. ▪ Age Three Transition brochure has been distributed to all offices in English and Spanish. <p>Transition to Adult Services workgroup created implementation plan and timeline; areas of emphasis include:</p> <ul style="list-style-type: none"> ▪ Transition checklist has been drafted for review in July 2014. ▪ List of core responsibilities for Transition Service Coordinators has been updated in all three counties. ▪ Training content for transition Service Coordinators and families is in development. ▪ Transition to Adult Services brochure, including an enhanced checklist, has been distributed to all offices in English and Spanish.
4. Evaluation	Develop and implement evaluative input.	Implementation has begun and evaluation will occur in 2015.



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Strategic Focus Area 2 - Autism

Defined As:

TCRC develops meaningful services for young persons with autism as they transition to adult life. TCRC also assists families and individuals with autism to access insurance benefits for behavioral health treatment as described in Statute SB 946.

Strategic Issues:

- There is a need for individualized employment opportunities, individual choice day services and other resources for teenagers and young adults who have autism.
- As resources shrink, it becomes increasingly important to collaborate and create partnerships to enhance services for people with autism.

- Statute SB 946 requires utilization of benefits through private pay insurance companies for Applied Behavioral Analysis (ABA) services.
- Families and service providers need assistance in understanding and navigating insurance benefits and generic resources.

Desired Outcome: What does TCRC want to achieve?

- TCRC is responsive to the emerging need to expand services for a growing number of young adults with autism. Individuals served will have access to information about insurance benefits for behavioral health services.



How will we know we are making progress?

Outcome Measures

Outcome Measures	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Implement plan to respond to needs for vocational, residential and day services for transition age young adults with autism.	Anecdotal information about changing needs.	Pursue Request for Proposals (RFP) according to results of needs assessment and prioritize within available Purchase of Services (POS) funding.	RFP submissions in review.	N/A	N/A	On Track
b. Expand network of support for post secondary education and vocational opportunities.	No centralized information about current informal relationships.	Implement at least one program in each county.	TCRC participating in AB 86 Consortia in each county.	N/A	N/A	On Track
c. Training is offered to Persons/Families to provide initial information and ongoing updates about methods to access insurance, including a module around behavioral services.	Two training events for families in each TCRC location in 2012.	Evaluate continuing training needs and modify as needed and appropriate.	27 BSO sessions. Individual sessions as needed.	N/A	N/A	On Track

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Strategic Actions:

Topic	Description	Current Progress
1. Survey Needs	Enhance the Autism Survey to be administered spring 2013 with questions that relate to needs for vocational, residential and day services as well as accessing other sources of input as well.	Autism survey results analyzed and action plan developed. Feedback was invited from TCADD, Autism Societies of Ventura, Santa Barbara and San Luis Obispo counties, as well as from the vendors participating in VAC.
2. Create Request for Proposal (RFP)	Administer RFP, review submissions and Program Designs and award contracts.	A Social Skills RFP to serve young people age 12-22 was closed in June. A Healthy Relationships RFP was closed in August. Submissions from both are currently being reviewed.
3. Define goals and objectives	Define goals and objectives for desired post secondary programming.	Regional center staff continue to participate in AB 86 stakeholder groups at Ventura CC, SBCC, Alan Hancock CC, and Cuesta CC to identify needs and opportunities for accessing post secondary education and vocational opportunities. Regional center staff is also in communication with California State University, Channel Islands regarding collaborating to identify the supports and funding needed for students with High Functioning Autism Spectrum Disorder to attend CSUCI.
4. Create a Plan	Develop summary of currently existing post secondary programming available to young adults with autism and create a plan for relationship building and opportunity development (with the post secondary institutions.) Dedicate a team of TCRC leadership to conduct outreach.	TCRC liaisons have been identified in each county to serve on AB 86 Consortia.
5. Create communications around training	Develop structure to communicate with families of individuals and adults with autism receiving behavioral services to ensure awareness of training and create feedback about ongoing training.	Autism Coordinator delivered twenty-seven (27) Behavioral Services Orientation sessions in the first half of 2014 that included general insurance information. Feedback is received from TCRC staff and parents.
6. Evaluate Training	Revise training module based on feedback.	As a result of feedback received: <ul style="list-style-type: none"> ▪ Autism Coordinator collaborated with SCs when needed to offer individual orientations to increase access for families. ▪ Options are being explored for additional online resources.



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Strategic Focus Area 3 - Information and Communication

Defined As:

TCRC communications about regional center services and supports and generic resources are enhanced to be more easily accessible and understood by persons served, families and community partners.

Strategic Issues:

- Technology and mobility is maximized to actively connect people to accessing and understanding information and resources.

- Stakeholder input suggests an interest in receiving information and communication beyond the existing website and town hall methods.
- Communication and training plans must balance the impact and effectiveness of electronic and face to face communications.

Desired Outcome: What does TCRC want to achieve?

- TCRC provides understandable, useful and needed information in a variety of ways to persons served, families and community partners.



How will we know we are making progress?

Outcome Measures

Outcome Measures	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Enhance information dissemination.	Have extensive collection of relevant content.	Evidence of application of standards.	Comparison of two print pieces shows significant increase in readability and decrease in grade level. Menu of Services brochure replaced by 7 new TCRC brochures.	N/A	N/A	On Track

Note: Outcome measures in **bold** denote alignment with implementation of Trailer Bill Language. (P) = DDS Performance Contract Measure. Goal for (P) measure is met when current TCRC # 1) meets or exceeds state average; 2) is better than TCRC baseline; 3) meets DDS Standard. ▲ Indicates that a higher value is better and ▼ indicates a lower value is better.



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Strategic Actions:

Topic	Description	Current Progress
1. Create Analysis (Year 1)	Determine audience segmentation criteria. Gauge comprehension of various audience segments by grade level, readability and engagement.	Update provided in 2013 End of Year report.
2. Review results (Year 2)	Review a current print piece or message for enhanced content and distribution.	<p>An Information Communications Framework was created to define the methodologies of the Communications Plan. This document defines standards in terms of quality, comprehension levels and format. The TCRC audience is also listed, along with information about the process of creating content and how it gets distributed through various communication channels.</p> <p>Evidence of improvement may be seen in a "Before & After" comparison of print pieces. The Fall 2009 TriLine cover story, printed before the Communications Plan was in place, scores a 17 on the Flesch Reading Ease scale. For this measure, a higher score is better. A score of 40-50 is ideal. The Flesch–Kincaid Grade Level for the 2009 story is 16.8. This is a college grade level. After implementation of the Communications Plan, the Spring 2014 TriLine cover story achieves a 52 on Flesch Reading Ease scale and a grade level of 9.4. Reading ease has increased and grade level has come down significantly.</p> <p>Brochure content may also be compared. An Early Intervention excerpt from the old Menu of Services brochure receives a 12 on the Flesch Reading Ease scale and a 17.6 for grade level. The recently published Early Start brochure has a reading ease score of 37 and a grade level of 11.9. The content was enhanced in several ways. Photos of real people we serve replaced hand drawn illustrations and new content was added. The text was carefully team edited for relevance and flow. The Menu of Services brochure has been replaced by seven new TCRC brochures.</p>
3. Conduct Focus Group (Year 3)	Conduct a focus group to enhance content creation and dissemination procedures that affect internal communications and external, face-to-face communications.	Updates will be provided in 2015.



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Operational Focus Area 1 - Performance Contract Measures

Defined As:

Measures that demonstrate TCRC's performance around quality of life issues compared with the state average:

Strategic Issues:

- Number and % of total population in Developmental Centers
- Adults Residing in Home Settings
- Children Residing in Facilities with Seven or More Beds

- Adults Residing in Facilities with Seven or More Beds
- Duration in Intake Status for Individuals Ages 3 and Over

Desired Outcomes:

- Meets or exceeds statewide average, better than baseline or meets DDS standard.



How will we know we are making progress?						
Outcome Measures	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Number and % of total population in Developmental Centers	0.35% (41)	.x % 39	0.22% (27)	0.47%	▼	On Track
b. Adults Residing in Home Settings	77.85% (4,347)	79.00% (x)	79.19% (4,723)	76.96%	▲	On Track
c. Children Residing in Facilities with Seven or More Beds	0.12% (7)	.x % (< or =12)	0.11% (7)	0.06%	▼	* On Track
d. Adults Residing in Facilities with Seven or More Beds	4.60% (257)	4.3% (x)	4.23% (252)	3.03%	▼	On Track
e. Duration in Intake Status for Individuals Ages 3 and Over Intake Status (P)	<142 days 143-240 days over 240 days	98.00% - 100.00% (x%) (x%)	100% (0.0%) (0.0%)	98.00% 1.79% 0.21%	▲ ▼ ▼	On Track

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Note: Children Residing with Families - see Strategic Focus Area 1 Family Support Outcome Measure b.

*Outcome measure c is viewed as a local goal with a different outcome expected than what the state expectation is, due to a unique program serving medically fragile children.



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Strategic Actions:

Topic	Description	Current Progress
1. Individuals moving from Developmental Centers	Implementation of the CPP Plan for the current fiscal year.	Twenty-seven (27) people remain in DCs.
2. Adults live in home like settings	Residential settings are developed within the capacity of the Purchase of Services allocation and response to Request for Proposals.	<p>Resource Development (RD)</p> <ul style="list-style-type: none"> An Adult Residential Facility in Santa Barbara county is in the final stages of the licensing process and will be vendored upon completion. A Ventura county provider previously selected through the RFP did not complete the development process. <p>Community Placement Plan (CPP) In partnership with Tri-Counties Community Housing Corporation (TCCHC), a residential care facility for the elderly (RCFE) is being developed in Nipomo. Six (6) additional projects are in development to serve adults with dual diagnoses, children with dual diagnoses, and transition age young adults with Autism.</p>
3. Children are not living in large facilities	Residential settings are developed within the capacity of the Purchase of Services allocation and response to Request for Proposals.	An RFP was administered in Winter 2014. One provider was selected to develop homes in each county for children with severe behavioral challenges and concurrent mental health issues.
4. Adults are not living in large facilities	TCRC continues to support downsizing of large congregate residential settings in the TCRC catchment area.	See update in Strategic Action 2.
5. Intake Process	Each intake is monitored for a timely eligibility decision.	Continue to follow intake protocol and improve timelines as needed to stay on track.



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Operational Focus Area 2 - Fiscal Compliance (Performance Contract) Measures

Defined as:

Audits, Budget, Client Development Evaluation Report (CDER)/Early Start Report (ESR) and Intake.

Desired Outcomes:

Compliance with outcomes expected from DDS.

How will we know we are making progress? Outcome Measures	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Internal compliance audit of implementation of TBL	Yes	Yes	Yes	N/A	N/A	On Track
b. Unqualified independent audit with no material findings(s) (P)	Yes	Yes	Yes	N/A	N/A	On Track
c. Substantial compliance with DDS fiscal audit (conducted within the prior 12 months) (P)	yes (FY 09/10) (FY 10/11)	Yes (FY 11/12) (FY 12/13)	Yes	N/A	N/A	On Track
d. Accuracy of POS fiscal projections (P)	Yes	Yes	Yes	N/A	N/A	On Track
e. Operates within OPS budget (P)	Yes	Yes	Yes	N/A	N/A	On Track
f. Certified to participate in the Medicaid Home and Community-Based Services (HCBS) Waiver	Yes	Yes	Yes	N/A	N/A	On Track
g. Compliance with Vendor Audit Requirements per contract, Article III, Section 10 (within prior 12 months) (P)	Yes	Yes	Yes	N/A	N/A	On Track
h. Client Development Evaluation Report (CDER)/Early Start Report (ESR) currency	Yes	Yes	On Track	N/A	N/A	On Track
i. Individual Program Plan (IPP) Development	100.00% April 2012	98.00% - 100%	On Track*	N/A	N/A	N/A
j. Individualized Family Services Plan (IFSP) Development	92.00% June 2010	94.00%**	On Track**	N/A	N/A	N/A

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Strategic Actions:

Topic	Description	Current Progress
1. Implementation of Trailer Bill Language (TBL)	Internal compliance review of implementation of TBL	The TBL Infrastructure Committee continued to meet in 2014 to discuss compliance. POS service data report was completed and reported on at the March 2014 Board meeting and subsequent Town Hall meetings; narrative completed and sent to DDS. SB 946 implemented. CPP requirements implemented and incorporated into ongoing processes. Planning occurred to implement new DDS contract language and various new bills effective in 2014. A review of TBL compliance was completed mid 2014.
2. CPA Audit Corrective Action Plan	Develop corrective action plan from prior CPA audit and implement.	CPA audit findings from prior year were reviewed in preparation for the FY 12/13 CPA audit conducted in September 2013. Audit narratives updated. TCADD Audit Committee meeting January 2014. Presentation to Board at February 2014 meeting.
3. Review CPA and DDS Audit Findings	Review CPA and DDS audit findings from past 5 years and ensure recommendations are being followed.	Review of CPA audit findings from prior years completed. Preparations completed for the DDS fiscal audit of FY 11/12 and 12/13 in March 2014. The draft DDS audit report is expected by the end of 2014.
4. POS Projections	Submit monthly POS projections to DDS in accordance with instructions and current data.	The monthly POS projection was submitted timely to DDS and in accordance with DDS instructions. No discrepancies noted.
5. Monitoring of OPS	Monthly monitoring. Continue cost savings measures. Contribute to PERS at year end to maintain employer rate and consider contribution to post-retirement health trust.	The OPS budget is monitored closely each month. Savings in FY 12/13 primarily in staffing costs and legal fees plus additional ICF/SPA funds allowed for \$900K contribution towards the PERS unfunded liability.
6. Audit Plan for current fiscal year	Establish and implement audit plan for current fiscal year. Periodic meetings with auditors to monitor performance against plan and adjust as needed.	FY 14/15 vendor audit plan drafted. DDS approval obtained on 5 audits in FY 13/14. Met FY 13/14 vendor audit requirements. Audit Team meets at least every 2 months or sooner, if needed.



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Topic	Description	Current Progress
7. Monitoring CDER/ESR reports	Federal Programs team sends reports of coming due CDER/ESR to the Service Coordinators (SCs). SCs complete these as IPP or IFSP meetings are held. Managers monitor compliance.	Mid year CDER Currency for TCRC was 99.12%. DDS is in process of revising methodology for ESR compliance.
8. Monitoring Intake Timelines	A tracking system is used in each office to “cue” SCs and clinicians regarding intake timelines.	Continue to implement intake protocol and improve timelines as needed to stay on track.
9. Individual Program Plan (IPP) Development	Agency-wide tracking system for IPPs is implemented by support staff and monitored by managers for PCT practices and timeliness.	A sample of IPPs of each team is reviewed by an internal review team for timeliness and person centeredness.
10. Individualized Family Services Plan (IFSP) Development	Agency-wide tracking system for IFSPs implemented by support staff and monitored by ES managers for PCT practices and timeliness.	Last DDS ESR result from 2010 - DDS is revising the indicator for measure and will combine four elements of the ESR to arrive at an IFSP Development composite score for each regional center, by end of 2014.



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Operational Focus Area 3 - Organizational Development

Defined as:

TCRC achieves consistency in the implementation of person centered performance management practices.

Operational Issues:

- There is an interest in creating greater employee alignment with the strategic plan.
- TCRC must be able to respond effectively in a time of rapid change.
- Person centered practices are implemented in different ways throughout the agency.

- It's important to utilize consistent practices across all regions in which services are provided.

Desired Outcome:

- TCRC develops a performance management model that reflects consistent application of person centered practices.

How will we know we are making progress? Outcome Measures	Baseline (EOY 2012)	2014 Desired Outcome	2014 Mid Year	2014 State Average	2014 Desired Direction	Target Met
a. Develop and implement a person centered Performance Management Model.	Performance Management Model currently based on Behavioral Event Interviews (BEI) and Competency Model.	Implement the Model.	ADP Migration in progress.	N/A	N/A	On Track

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Strategic Actions:

Topic	Description	Current Progress
1. Input regarding Performance Review Process	Compile input from management and staff to identify what's working/ not working about the existing Performance Review Process and clarify the indicators of an effective, efficient, person centered Performance Review Process.	Update provided in 2013 End of Year report.
2. Proposal of Revisions for Performance Review Process	Propose revisions to the Performance Review Process.	Input from management and staff was incorporated in redesign of Performance Review Process.
3. Revise Materials	Revise existing materials and platform for implementation of revised Performance Review Process.	Migration to ADP online performance review is underway and will be tested in July-August.
4. Training	Develop training to support managers and staff to implement revised Performance Review Process.	On track for November-December 2014.
5. Implement changes	Implement Performance Review Process, solicit feedback and modify according to results.	Feedback will be solicited after initial roll-out in 2015.
6. Consider additional elements of the TCRC Performance Management Model	Define additional elements of a person centered Performance Management Model and begin to modify.	Elements have been defined.