



Tri-Counties Regional Center

SAN LUIS OBISPO • SANTA BARBARA • VENTURA

Strategic Performance Plan 2013-2015





FROM THE PRESIDENT AND EXECUTIVE DIRECTOR

November 2012

Dear Friends of TCRC,

Thank you to all who have contributed to the development of the TCRC Strategic Performance Plan 2013-2015. Since convening the TCADD Strategic Planning Sub-Committee early in 2012, the Plan has evolved into a set of objectives grounded by the important input of our stakeholders and aligned with both meeting our local and regional needs, as well as statewide issues impacting the persons and families served by the twenty one regional centers.

The Plan is unique for this planning cycle in that there are two parts of our Plan:

Strategic Focus Areas:

- Family Support
- Autism
- Information & Communication

Operational Focus Areas:

- Performance Contract Measures
- Fiscal Compliance
- Organizational Development

Tri-Counties Regional Center emphasizes a strategic focus for our work in supporting our mission, vision and core values. Although TCRC has commitments to a Performance Contract with DDS, the Lanterman Act, Title 17 and other multiple statutory requirements, TCRC chooses to create these specified

strategic objectives for the regional center that enhances the support for persons and families receiving services from Tri-Counties Regional Center.

From stakeholder input consisting of persons served, families, service providers, TCRC staff, and other community members, we learned about priorities around assisting our families through times of life transition, the importance of acknowledging the needs of the emerging population of young persons with autism and their needs for post secondary, vocational and residential needs.

We also learned that our stakeholders want to know more about the information available on our web site, although we know that the value of 1:1 in person communications remains important as well. We heard that TCRC's staff want to be even more involved in integrating their regular work with the goals and objectives of the Strategic Performance Plan.

TCRC's process of planning includes input from stakeholders, analyses of this information by TCRC leadership and the direction and guidance by the TCADD Strategic Planning Sub-Committee. The TCADD Board has a high level of review and involvement in the production of the phases of the Strategic Performance Plan. Throughout the planning year, the Board reviews recommendations from the

Strategic Planning Sub-Committee for all elements of the plan. The Plan incorporates Focus Areas and their Definitions, Desired Outcomes, and Outcome Measures, with targets for the three years of the Plan, and the Strategic Actions.

The TCADD Board reviews progress of the work of the Strategic Performance Plan semi-annually in September and March. Find the Plan on the TCRC web site as "Strategic Performance Plan 2013-2015; go to "About TCRC" and then to "Guiding Principles."

With warm regards,

Robyn Adkins
President
Tri-Counties Association for the
Developmentally Disabled, Inc.

Omar Noorzad, Ph.D.
Executive Director
Tri-Counties Regional Center



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Vision: Persons with developmental disabilities live fully and safely as active and independent members of their community.

Mission: TCRC provides person and family centered planning, services and supports for individuals with developmental disabilities to maximize opportunities and choices for living, working, learning and recreating in the community.

Core Values:

- Trustworthiness
- Respect
- Responsibility
- Fairness
- Caring
- Civic Responsibility

Operating Principles:

- Choice, Freedom and Independence
- Quality of Life
- Family and Community
- Teamwork and Collaboration
- Organizational Excellence





ABOUT THE STRATEGIC PLANNING PROCESS



What was important to Tri-Counties Regional Center in developing the Plan?

Assumptions, Tools and Processes utilized throughout the planning process were based on TCRC's Mission, Vision, Core Values and Operating Principles.

The **Assumptions** were:

- Transparency of Information
- Inclusiveness
- Person Centered Thinking
- Alignment with Department of Developmental Services (DDS) Performance Measures
- Compliance with Statute

The **Tools** were:

Criteria for Decision Making

- An Issue Represents an Urgent Need - According to Severity, Size, Cost Impact.
- Significant Progress can be made within the next three years with Current Resources of Staff, Money and Tools.
- Potential Outcomes are Meaningful and can be Appropriately Measured
- Cost Effectiveness.

Utilization of Interactive Technology

- An online survey to record input from TCRC staff was conducted.
- An online stakeholder survey was held; over 11,000 were invited. (Family Resource Centers supported individuals without access to computers.)
- Webinar meetings of staff were conducted to develop Strategic Actions.

The **Processes** were:

- Use of results of information gathering throughout construction of the Plan by the Strategic Planning Sub-Committee.
- TCRC Leadership created analyses of all input for Strategic Planning Sub-Committee review.
- TCADD Board feedback to the Strategic Planning Sub-Committee at all phases of development of the Plan.



Strategic Focus Areas

- Family Support
- Autism
- Information/Communication

Operational Focus Areas

- Performance Contract Measures
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- Organizational Development

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 (Mid Yr 2012)	2013	2014	2015
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	Develop the plan for each topic area, including needs, strategies and impact on resources and development of materials and resources	Continue to create materials, establish infrastructure, implement the plan	Evaluate plan and make Improvements
Intake		Yes/No	Yes/No	Yes/No
Early Start		Yes/No	Yes/No	Yes/No
Adulthood		Yes/No	Yes/No	Yes/No
b. Children Residing with Families (DDS Performance Contract Measure)	99.04 % (5927)	98.00% - 100.00%	98.00% - 100.00%	98.00% - 100.00%

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.



Strategic Focus Areas

- Family Support
- Autism
- Information/Communication

Operational Focus Areas

- Performance Contract Measures
- Fiscal Compliance
- Organizational Development

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Strategic Actions:

Topic	Description	Staff Resources
1. Assess resources	Map out existing internal capacity and processes, and external resources.	Focus Area Work Groups for Intake, Early Start and Adulthood
2. What is Working/Not Working	Gather input about what is currently Working/Not Working regarding support, from families, partners and staff.	Focus Area Work Groups for Intake, Early Start and Adulthood
3. Plan Template	Create template for plan for each age related area.	Focus Area Work Groups for Intake, Early Start and Adulthood
4. Evaluation	Develop and implement evaluative input.	Focus Area Work Groups for Intake, Early Start and Adulthood



Strategic Focus Areas

- Family Support
- Autism**
- Information/Communication

Operational Focus Areas

- Performance Contract Measures
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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	Baseline (2012)	2013	2014	2015
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.	Create and administer needs assessment and evaluate results.	Pursue Request for Proposals (RFP) according to results of needs assessment and prioritize within available Purchase of Services (POS) funding.	Create services for day and residential needs according to needs assessment.
b. Expand network of support for post secondary education and vocational opportunities.	No centralized information about current informal relationships.	Research current models and formalize relationships with at least one college or vocational program in each county to explore opportunities.	Implement at least one program in each county.	Evaluate efforts and further enhance opportunities.
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.	Quarterly event in each FRC in each county that provides information or training about access to insurance for behavioral health services.	Evaluate continuing training needs and modify as needed and appropriate.	Continue to implement according to 2014 assessment.

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Strategic Focus Areas

Family Support **Autism** Information/Communication

Operational Focus Areas

Performance Contract Measures Fiscal Compliance Organizational Development

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Strategic Actions:

Topic	Description	Staff Resources
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.	Focus Area Work Group, Directors Services and Supports, Community & Organizational Development, Manager, Training and Organizational Development.
2. Create Request for Proposal (RFP)	Administer RFP, review submissions and Program Designs and award contracts.	Focus Area Work Group, Resource Development Team.
3. Define goals and objectives	Define goals and objectives for desired post secondary programming.	Focus Area Leader, Focus Area work group for post secondary education.
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.	Executive Director outreach to Presidents and Chief Executive Offices of post secondary institutions in the three counties supported by Directors Services and Supports, Community & Organizational Development.
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.	Focus Area Leader, Directors Services and Supports, Community & Organizational Development, Manager, Training and Organizational Development
6. Evaluate Training	Revise training module based on feedback.	Focus Area Leader, Manager, Training and Organizational Development; Media and Communications Coordinator, Autism Coordinator, Family Resource Centers. Focus Area Leader, Manager Training and Organizational Development, Autism Coordinator, Family Resource Centers.



Strategic Focus Areas

- Family Support
- Autism
- Information/Communication**

Operational Focus Areas

- Performance Contract Measures
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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	Baseline (2012)	2013	2014	2015
a. Enhance information dissemination.	Have extensive collection of relevant content.	Define comprehension, format, distribution standards for new print publication and Service Policies/Guidelines.	Evidence of application of standards.	Evaluate standards and refine.

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.



Strategic Focus Areas

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Operational Focus Areas

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Strategic Actions:

Topic	Description	Staff Resources
1. Create Analysis (Year 1)	Determine audience segmentation criteria. Gauge comprehension of various audience segments by grade level, readability and engagement.	Focus Area Leader and designated work group
2. Review results (Year 2)	Review a current print piece or message for enhanced content and distribution.	Focus Area Leader and designated work group
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.	Focus Area Leader and designated work group



Strategic Focus Areas

Family Support

Autism

Information/
Communication

Operational Focus Areas

**Performance
Contract Measures**

Fiscal
Compliance

Organizational
Development

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

Strategic Issues:

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

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 (Mid Yr 2012)	2013	2014	2015
a. Number and % of total population in Developmental Centers	0.35% (41)	.x % 40	.x % 39	.x % 38
b. Adults Residing in Home Settings	77.85% (4,347)	78.00% (x)	79.00% (x)	80.00% (x)
c. Children Residing in Facilities with Seven or More Beds	0.12% (7)	.x % (< or =12)	.x % (< or =12)	.x % (< or =12)
d. Adults Residing in Facilities with Seven or More Beds	4.60% (257)	4.6% (x)	4.3% (x)	4.0% (x)
e. Duration in Intake Status for Individuals Ages 3 and Over Intake Status (P)				
<142 days	100.00%	98.00% - 100.00%	98.00% - 100.00%	98.00% - 100.00%
143-240 days	0.00%	(x%)	(x%)	(x%)
over 240 days	0.00%	(x%)	(x%)	(x%)

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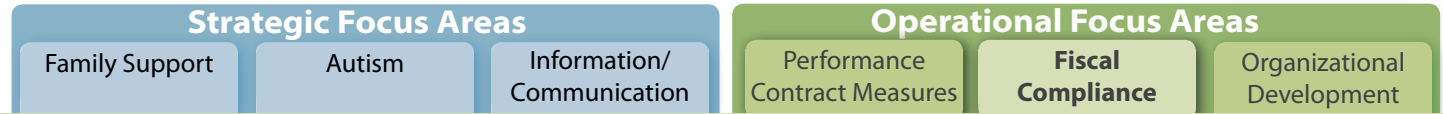
Note: Children Residing with Families - see Strategic Focus Area 1 Family Support Outcome Measure b.



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Strategic Actions:

Topic	Description	Staff Resources
1. Individuals moving from Developmental Centers	Implementation of the CPP Plan for the current fiscal year.	Manager of Community Placement Plan (CPP), CPP Service Coordinators and Specialized R.N.
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.	Resource Development, Department of Finance and Administration.
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.	Resource Development, Department of Finance and Administration.
4. Adults are not living in large facilities	TCRC continues to support downsizing of large congregate residential settings in the TCRC catchment area.	Directors Services and Supports, Community & Organizational Development and designees.
5 Intake Process	Each intake is monitored for a timely eligibility decision.	Intake Staff, Services & Supports Managers, Director, Services and Supports, Director, Clinical Services.



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 (Mid Yr 2012)	2013	2014	2015
a. Internal compliance audit of implementation of TBL	yes	yes	yes	yes
b. Unqualified independent audit with no material findings(s) (P)	yes	yes	yes	yes
c. Substantial compliance with DDS fiscal audit (conducted within the prior 12 months) (P)	yes	yes	yes	yes
d. Accuracy of POS fiscal projections (P)	yes	yes	yes	yes
e. Operates within OPS budget (P)	yes	yes	yes	yes
f. Certified to participate in the Medicaid Home and Community-Based Services (HCBS) Waiver	yes	yes	yes	yes
g. Compliance with Vendor Audit Requirements per contract, Article III, Section 10 (within prior 12 months) (P)	yes	yes	yes	yes
h. Client Development Evaluation Report (CDER)/Early Start Report (ESR) currency	yes	yes	yes	yes
i. Individual Program Plan (IPP) Development	100.00% April 2012	Not applicable*	98.00% - 100%	Not applicable*
j. Individualized Family Services Plan (IFSP) Development	92.00% June 2010	93.00%**	94.00%**	95.00%**

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.

*DDS Audits Spring 2014 and Spring 2016 (every two years)

**DDS may perform Audit for comparative data



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Strategic Actions:

Topic	Description	Staff Resources
1 Implementation of Trailer Bill Language (TBL)	Internal compliance review of implementation of TBL	Department of Finance and Administration
2. CPA Audit Corrective Action Plan	Develop corrective action plan from prior CPA audit and implement.	Department of Finance and Administration
3. Review CPA and DDS Audit Findings	Review CPA and DDS audit findings from past 5 years and ensure recommendations are being followed.	Department of Finance and Administration
4. POS Projections	Submit monthly POS projections to DDS in accordance with instructions and current data.	Department of Finance and Administration
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.	Department of Finance and Administration
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.	Department of Finance and Administration
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.	Department of Services and Supports
8 Monitoring Intake Timelines	A tracking system is used in each office to “cue” SCs and clinicians regarding intake timelines.	Department of Services and Supports
9 Individual Program Plan (IPP) Development	Agency-wide tracking system for IFSPs is implemented by support staff and monitored by managers for PCT practices and timeliness.	Department of Services and Supports
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.	Department of Services and Supports



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?	Baseline (2012)	2013	2014	2015
Outcome Measures				
a. Develop and implement a person centered Performance Management Model.	Performance Management Model currently based on Behavioral Event Interviews (BEI) and Competency Model.	Come to an agreement around the elements of the Performance Management Model and create implementation plan.	Implement the Model	Evaluate progress and create revisions as needed.

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TCRC Strategic Performance Plan 2013–2015



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Strategic Actions:

Topic	Description	Staff Resources
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.	Focus Area Leader, Focus Area Work Group..
2. Proposal of Revisions for Performance Review Process	Propose revisions to the Performance Review Process.	Focus Area Leader, Director Human Resources, Leadership Team.
3. Revise Materials	Revise existing materials and platform for implementation of revised Performance Review Process.	Focus Area Leader and designated work group members.
4. Training	Develop training to support managers and staff to implement revised Performance Review Process.	Focus Area Leader.
5. Implement changes	Implement Performance Review Process, solicit feedback and modify according to results.	Focus Area Leader, Director Human Resources.
6. Consider additional elements of the TCRC Performance Management Model	Define additional elements of a person centered Performance Management Model and begin to modify.	Focus Area Leader and designated work group members.



Desired Outcome

A statement of the intended results of strategic actions developed as a result of the identification of strategic issues for a Focus Area.

Focus Area

Themes that have emerged through input from the community and other data resources, defined as Strategic or Operational. Strategic Focus Areas capitalize on opportunities to enhance results for individuals and families served. Operational Focus Areas address internal continuous improvement actions.

Mission Statement

The reason for an organization’s existence is identified according to what the organization does, why, and for whom.

Outcome Measure

The unit of measure used to evaluate the success of a desired outcome over time.

Stakeholder

Persons or organizations with a vested interest in the outcomes of the work of the organization. TCRC Stakeholders include employees, service providers, persons receiving TCRC services and their family members, California Department of Developmental Services, members of the TCADD Board of Directors, Area Board 9 and community partners.

Strategic Issues

Factors contributing to the identification of trends or themes around the needs of persons with developmental disabilities.

Strategic Plan

A document that describes goals of the organization over a particular time period developed through data collection and analysis intended to focus the actions and guide the organization (e.g. TCRC under direction of the Executive Director and TCADD) toward reaching desired outcomes.

SWOT

SWOT is a commonly used term in strategic planning referring to the identification of an organization’s Strengths, Weaknesses, Opportunities, and Threats (or external risk factors). Result of a SWOT analysis assists with development of quantifiable and measurable objectives to achieve an organization’s strategic goals.

**Transition-Age
Young Adult**

A person served who is 16-22 years of age.

Vision Statement

The ideal outcome of the mission-driven activities of an organization is described.