

Olmstead Executive Committee Meeting
June 17, 2016 – 3:00 p.m. – 4:00 p.m.
Minnesota Housing
400 Sibley Street, Jelatis Conference Room, Saint Paul, MN 55101

1. Call to Order

Action: N/A

The meeting was called to order at 3:00 p.m. by Commissioner Mary Tingerthal (Minnesota Housing). Commissioner Tingerthal stated the Executive Committee always conducts open meetings and all members of the Subcabinet are invited to attend.

2. Roll Call

Action: N/A

Subcabinet members present: Mary Tingerthal, Chair, Olmstead Subcabinet (Minnesota Housing); Colleen Wieck (Governor's Council on Developmental Disabilities).

Designees present: Chuck Johnson (Department of Human Services)

Guests present: Darlene Zangara (Olmstead Implementation Office); Anna McLafferty (Department of Corrections); Sarah Thorson, Melinda Hexum, Claire Wilson, (Department of Human Services); Allison Jones (Office of Governor Mark Dayton); Becky Schack, Anne Smetak (Minnesota Housing), Kylie Nicholas, Daren Nyquist (The Improve Group); Jim Conroy (The Improve Group) (by phone).

3. Agenda Review

There were no changes to the agenda. Commissioner Tingerthal stated the purpose of the meeting was to have a detailed review of the status of the Quality of Life Survey contract that will be moving forward. Commissioner Tingerthal stated her goal for the meeting was to come to an agreement on the second phase of the survey so that staff may be instructed to being preparation for the request for proposal (RFP). Commissioner Tingerthal added that if the committee members were not prepared to approve next steps by the end of the meeting, action could be referred to the Subcabinet for decision making at its next meeting.

4. Action Item

a) Review Quality of Life Administration Plan

Olmstead Implementation Office Executive Director Darlene Zangara provided an overview of the administration plan with the group, stating that the OIO is charged with responsibility of oversight of the annual survey of people with disabilities to determine

their quality of life. The first survey was conducted with the Improve Group, and the survey results have been submitted to the Subcabinet. Two RFPs had been issued for the second survey. Based on the complexity of the survey administration, it has been determined to divide the survey administration into two phases. Phase 1 is the administrative plan and analysis of costs. Phase 2 is the definition of costs and setting the scope of work.

Darlene Zangara stated Phase 1 was near completion and work completed included determining outreach strategy and survey design, the Institutional Review Board (IRB) process, securing funding for the Pilot and the implementation of the survey tool, and a report submission to the Subcabinet. Darlene Zangara stated the survey tool includes very specific research questions, and three questions specifically required in the Olmstead Plan are: 1. how well are people with disabilities receiving services in potentially segregated settings; 2. how much autonomy do people with disabilities have in day-to-day decision making, and; 3. are people with disabilities living and working in the most integrated settings they choose. Darlene Zangara added that the target populations for the survey are those most impacted by the State's efforts to provide services.

Darlene Zangara stated there are an estimated 40,000 Minnesotans for whom the OIO is hoping to access data for the survey. The sampling plan for the survey was discussed. A simple random sample would be used from the entire population. In a simple random sample, individuals are selected randomly and no individual is selected more than once in order to lessen any negative impact on validity. The initial sample group will be 12,000 individuals. The Department of Human Services and DEED will each begin outreach with the individuals receiving services from their respective agencies. Commissioner Tingenthal clarified that DHS had opted to contract with The Improve Group to do the initial outreach. It was noted that a merging process must be done to ensure the two agencies are not duplicating respondents.

Colleen Wieck inquired about the term "state funded" services and what it meant in drawing the sample. Kylie Nicholas (The Improve Group) responded that the group for sample includes those who have been authorized to receive services as of January, 2016. Kylie Nicholas added the reason for that date is because there is a lag between a person receiving authorization for services and payment being made for services.

Darlene Zangara described the process and plan for outreach, stating the focus is to build the legitimacy of the survey. State agencies will provide the initial contact and The

Improve Group and the OIO will use social media as part of the outreach strategy. Commissioner Tingerthal inquired if meeting attendees had any questions about the proposed roles. Colleen Wieck shared that, during the pilot, providers who had not heard about the survey questioned if it was sanctioned and if they should participate. Colleen Wieck stated it is important for both agencies to make clear to providers that it is okay for them to participate. Sarah Thorson (DHS) stated that DHS and the OIO are planning to send a joint letter to providers to share information with them about the survey, adding the more methods used to get the word out, the better the process will move forward. Sarah Thorson also stated that there is a need to ensure that those who are ultimately contacted to participate in the survey are able to verify the authenticity and validity of the survey. Colleen Wieck agreed, stating that during the pilot, surveyors sometimes were turned down at the level of the group home manager, despite having permission from the CEO of the service provider. Managers were concerned about participating and cited HIPPA laws as a reason to not participate.

Commissioner Tingerthal inquired if DEED surveyed their audiences directly in the pilot. Deputy Commissioner Johnson responded that DEED surveyed their audiences directly and staff is familiar with the challenges in the field.

Darlene Zangara shared that the vendor for the survey proposed that ISG, an outside entity, be hired to assist with outreach efforts, as well as initial contact, screenings, obtaining guardian consent, scheduling of interviews, and conducting interviews when requested. Darlene Zangara reiterated that there is a pool of 12,000 individuals for outreach and multiple contacts may be needed for each individual. Darlene Zangara stated the preferred survey method is in-person, but the survey will also be available by phone or online. The survey can be conducted in a variety of environments that can be chosen by the respondent. The online survey will be secure and also be screen reader accessible. Commissioner Tingerthal inquired if ISG would determine what types of accommodations may be needed as part of their screening and Daren Nyquist (The Improve Group) responded that there are questions included to determine accommodation needs and stated that many phone calls are needed to complete one survey. Darlene Zangara stated she had checked with The Improve Group to confirm the budget for the survey. The baseline for the survey will be 8,000 or 9,000 individuals, with 3,000 surveys completed. Darlene Zangara stated additional surveys will not be conducted when the 3,000 benchmark has been reached. The Improve Group will conduct up to the first 500 surveys and will use that time to refine the survey process. The Improve Group will then hire up to 10 people to conduct additional interviews. The intent is that the people hired will be persons with disabilities who are trained to

conduct the interviews. Research of the survey pool will be used to determine the most cost effective ways to survey participants in Greater Minnesota. Commissioner Tingerthal inquired how the persons with disabilities serving as interviewers will be identified. Daren Nyquist responded that he has had initial conversations with vendors who have the ability to recruit statewide and they are excited about the opportunity to participate in the process. Darlene Zangara stated the OIO has names of individuals with disabilities who are interested in being interviewers and those names will be shared. Daren Nyquist added that, given the number of surveys that need to be completed in the 12-month time frame, 12 surveys must be completed each business day and this pace would require 10 individuals dedicated to survey administration each business day. Commissioner Tingerthal stated that, based on discussion with Dr. Conroy, the committee could decide to reduce the survey baseline from 3,000 respondents to 2,000 respondents. This would allow the survey to be completed more quickly. Daren Nyquist stated that The Improve Group would still look at having 10 additional people to conduct the surveys and they would still complete the first chunk of interviews, but 2,000 surveys would be much more feasible given the timeline.

Darlene Zangara stated that The Improve Group has worked with DHS's process to ensure approval of the survey by the IRB. Darlene Zangara stated the survey does not require approval by IRB but the desire is to adhere to the best practices that have been established and receive approval by IRB. There are outstanding questions regarding the length of the survey, the length of the questions, and the order of the questions that need to be resolved by Dr. Conroy and The Improve Group to determine the feasibility and appropriateness of making changes.

Deputy Commissioner Chuck Johnson (DHS) thanked Darlene Zangara for bringing up the IRB process. Deputy Commissioner Johnson stated that, his understanding of the federal perspective is that IRB review may not be needed, but it is required from a DHS policy perspective. Dr. Schiff of the IRB is ready to engage with The Improve Group and Dr. Conroy to make sure that everyone has the same understanding about the questions remaining. Commissioner Tingerthal inquired how long it would be fore IRB could review the survey again. Daren Nyquist stated there have been rolling conversations. Deputy Commissioner Johnson shared that he had talked with Dr. Schiff and there may be an opportunity to review via email or paper submission, depending upon how complicated the resolution needs to be. Daren Nyquist shared that The Improve Group is trying to coordinate a call with IRB the week of June 20. Commissioner Tingerthal stated that someone had suggested the most critical survey questions be asked first so

there is a maximum opportunity to have answers on those higher priority questions. Dr. Conroy stated his agreement with this suggestion.

Darlene Zangara shared with the group that subgroups will be identified for further analyses. These subgroups may include settings, disability type, geographic region, county, financial responsibility, guardianship status, race, age, incarceration history, and persons experiencing homelessness.

Deputy Commissioner Johnson stated he understands the importance of tracking subgroups and inquired how a smaller sample may impact the ability to have information on subgroups. Daren Nyquist responded that there will be an opportunity to do a power analysis which includes benchmarks for each setting and the number of persons in each setting required to complete interviews. Daren Nyquist stated 2,000 surveys will give the ability to compare the smallest setting groups to each other. Kylie Nicholas stated that 20-25 persons will be needed in each subgroup in order to see if changes have occurred in the quality of life measures.

Deputy Commissioner Johnson stated that one of the critical purposes of the survey is to have information to follow over time to determine if improvement is being seen by subgroup and setting and asked for confirmation that a sample of 500 would still provide an ability to see trending in subgroups. Kylie Nicholas responded that the small sample size of 500 gives a lot of statistical power, adding that additional people can be interviewed if there is concern about a particular subgroup, and oversampling can be done for follow up surveys. Dr. Conroy added that if we have the same 500 people twice, that is huge and far above the standard plus or minus 5% margin of error, which occurs at about 400 people. Dr. Conroy acknowledged that it gets tricky for the subgroups, but power analysis can be used for time one and time two. Dr. Conroy added that the margin of error is what matters and the sample sizes are adequate for margin of error, even in the smallest group.

Commissioner Tingerthal requested clarification about the potential need for oversampling and stated that the subsequent target number may be 550 rather than 500 in order to fill out the smaller subgroups with a large enough number of people. Dr. Conroy responded that, with the reduction from 3,000 to 2,000 participants, the resources should be there to have a larger sample for subgroups if needed. Commissioner Tingerthal stated she wanted to be sure the expectations are clear from a budget perspective; that there may be an upwards deviation when the future sampling and surveying is conducted. Dr. Conroy responded that if they are using 500 simple

random samples, the question that needs to be answered is what is the smallest subgroup in that 500.

Darlene Zangara reviewed some of the survey measures with the group, including community integration and engagement, autonomy over daily life, perceived quality of life, and elements of the person-centered planning process. Next, Darlene Zangara reviewed the analysis methods and their limitations, including incomplete data for subgroups, sample size within subgroups, self-report data, differing definitions and partial surveys. Commissioner Tingerthal inquired about the expected incompleteness rate, or how many surveys may not meet the minimum 75% completion threshold. Kylie Nicholas responded that it was anticipated that all surveys would finish at least one module and that 60% of the pilot surveys finished at least four modules. Colleen Wieck added that the worse completion rates occurred with those in day training and habilitation, boarding care, and nursing facilities, where it was difficult to get time to meet with people. Colleen Wieck stated that sometimes it took up to two hours just to schedule time with people in those settings.

Darlene Zangara next shared the quality assurance measures, stating they are critical to ensure the process is being conducted appropriately. Quality assurance measures include supervision, reliability, managing of the data, the quality of the data, and any corrective action. Measures are also in place for data security. The Improve Group has its own policy around data security that will be made consistent with DHS's policies around the security and privacy of individual data. Abuse and neglect protocols will also be incorporated for quality assurance, with survey administrators receiving training to identify abuse and neglected and being considered mandated reporters. Plans will be in place for reporting any suspected abuse and neglect.

Darlene Zangara closed her presentation by referring attendees to a PowerPoint that was distributed at the meeting, stating the PowerPoint provides an overview of the administration plan. Darlene Zangara also stated that the plan meeting attendees received is a draft that shows the changes from the current version and the June 9 version and the changes have been summarized in the meeting materials. Darlene Zangara also stated the NCI and Quality of Life surveys are two very effective tools, but measuring very different things. Darlene Zangara announced a correction to the materials, which state the audience is people with intellectual developmental disabilities. The audience also includes the elderly and people with physical disabilities.

Commissioner Tingerthal suggested a side-by-side of the tools may be helpful for the Subcabinet, who saw the NCI survey at their last meeting. Having the side-by-side would provide helpful context. Colleen Wieck added that the Plan states the NCI survey is the first step.

Deputy Commissioner Johnson requested an opportunity to review the information for accuracy before it is distributed to the Subcabinet. Sarah Thorson acknowledged there were some inaccuracies that would need correction. Commissioner Tingerthal requested that Darlene Zangara make the needed corrections before the materials are provided for the next subcabinet meeting.

b) Discuss next steps on Budget for implementing the plan

Darlene Zangara stated a brief overview of the budget was included in the meeting materials. Darlene Zangara acknowledged the costs seem high initially, but reminded the group that the costs involved are to lay the foundation to have a longer term study that can be continued year after year. Darlene Zangara pointed out the cost difference between the current planned 3,000 survey baseline and a proposed 2,000 survey baseline, stating the difference is significant and something to consider. Next, Darlene Zangara reviewed the cost of engaging a vendor to conduct outreach and stated the figure was considered a “worst case scenario” which assumes that all budgeted contacts must be made in order to reach the survey baseline and assumes the number of outreach calls needed may be four times the baseline number.

Commissioner Tingerthal inquired if it was reasonable to expect the per survey costs would decrease throughout the longitudinal study. Daren Nyquist responded that The Improve Group is working on estimates, but he believes the costs will be slightly lower due to efficiencies gained during start-up. Daren Nyquist stated the initial budget is higher because it reflects start-up costs of \$30,000 to \$40,000. For subsequent surveys, there would be more information available on the sample that would allow for more clear estimates for things like travel costs.

Deputy Commissioner Johnson stated he assumed part of the RFP would be to get bids for Phase 2 and that he supported doing an RFP because of the potential to receive proposals at other costs. Deputy Commissioner Johnson commented that the costs seen here are much higher than what was seen with NCI and that he was in favor of doing the work at the lowest cost possible.

Daren Nyquist stated that a primary reason for seeing such a high cost is that it is a statewide survey that is not focused on going to a single physical location. Interviewers will meet respondents where they are, which is more expensive than meeting groups of people at designated provider locations. Daren Nyquist reiterated that once it is known where the people are located, a more accurate estimate can be provided. Commissioner Tingerthal added that we will not know necessarily when going through the initial survey that there are, for example, three people in the Bemidji area. In the follow ups, we will have that information and be able to have a single trip to Bemidji for those three surveys.

Commissioner Tingerthal inquired about the typical fall-out rate for the second or third years of a 500 person sample. Dr. Conroy responded that a 10% to 20% fall-out rate is expected and stated he would pull 600 subjects and expect to get 500 responses. Dr. Conroy added that the American population changes residences every five years on average and acknowledged that this subject group may be different, but stated you must assume that there are people who will move, die, or be unwilling to participate. Commissioner Tingerthal responded that if subjects move, generally we would follow them with services. Dr. Conroy cautioned there would still be fall out from people who move out of state. Deputy Commissioner Johnson stated people generally can be located based on the data maintained for program users.

Commissioner Tingerthal requested comments from the Executive Committee members regarding their comfort level with the budget and the administration plan. Commissioner Tingerthal stated there will be a brief, summarized presentation of the plan to the Subcabinet to allow time for other business at that meeting.

Deputy Commissioner Johnson stated he wanted to see the IRB issues be resolved before work begins on the RFP. Deputy Commissioner Johnson acknowledged that some of the issues were not very big, but there are some issues with the survey itself that need to be addressed. Deputy Commissioner Johnson also stated that, after proposals are received, there must be an ability to ensure adequate funding for future surveys within the OIO budget. Deputy Commissioner Johnson also inquired about the timeline for follow up surveys. Daren Nyquist responded that there have been conversations regarding the follow up surveys and it is his understanding they should be scheduled at least 12 months after the initial survey. Dr. Conroy stated that, rule of thumb, you do the second survey as long as you can possibly wait because every month you wait increases the possibility of effecting change.

Deputy Commissioner Johnson inquired about what is appropriate relative to how long it may take to see change compared with the requirements of the court. Commissioner Tingerthal responded that said the Olmstead Plan indicates there would be an annual Quality of Life survey and we are also looking at changing the number of respondents. Commissioner Tingerthal stated she felt we would have an opportunity to bring an informed opinion to the court and make a compelling case to request changes as part of the annual Plan amendment process later this year. Deputy Commissioner Johnson stated he did not want to be in a position where many resources are used to do a follow up survey at 12 months that does not provide useful information because that time frame does not allow the detection of changes. Dr. Conroy stated that once you get the baseline, every time you want to come back, you can still find out if people are better off from a much smaller sampling, even if its 10 years in the future. Colleen Wieck stated she had read many of Dr. Conroy's previous studies and has known him for a long time. Colleen Wieck stated she has been working on the Quality of Life survey since the beginning and she agrees to wait longer than one year for the follow up, and added that there are three years remaining until court jurisdiction ends and this will give the longitudinal approach that is needed. Colleen Wieck added that she did see many things in the pilot where things were learned that must be addressed, but she felt the RFP should proceed.

Commissioner Tingerthal inquired if Colleen Wieck and Deputy Commissioner Johnson were comfortable with the group taking the steps toward an RFP that would not be published until after approval by the Subcabinet. Deputy Commissioner Johnson inquired about the process for the RFP and Commissioner Tingerthal responded that Darlene Zangara is working with Minnesota Housing's Deputy Commissioner and Controller on the RFP, but added a primary contact person for content is needed from DHS. Deputy Commissioner Johnson stated that it is good to be involved along the way rather than seeing the RFP for the first time as a draft. Darlene Zangara stated she would work alongside with the agencies that are providing data because it is important for all parties to have the same information and the same context.

5. Adjournment

The meeting was adjourned at 3:56 p.m.