



Minnesota Department of **Human Services**

MEMO

Date: March 14, 2012

To: Lead Agency Developmental Disability Waiver Managers and Supervisors and Day Training and Habilitation (DT&H) Providers

From: Kathy Kelly, Disability Services Division

Re: Staffing Ratios and DT&H Services: Preparing for Implementation of the Disability Waiver Rate System

Background

The Disability Waivers Rate System (formerly RSMI) is designed to establish a rate-setting platform that ensures consistent and transparent statewide pricing of disability waiver services. This includes the development of an online tool that calculates rates based on individual client needs. This proposed system will require changes in the way in which DT&H services are planned and purchased.

Historically, DT&H rates have been established for programs and include a daily rate and a partial-day rate. These rates are the same for all clients of that particular DT&H without regard to the unique array of services provided to any one client using the program.

Beginning in February and throughout 2012, DHS will make the proposed rate system available to lead agencies through SSIS as a “shadow process” for testing and evaluating the proposed rate structure. In 2012, lead agencies will enter client information into the Rate Management System to see what the rates would be when the proposed rate system is fully implemented in January 2013. As we move toward full implementation, we ask lead agencies and providers to use 2012 to engage in conversations specific to clients’ needs and the delivery of DT&H services.

Providers may view the rate frameworks on the [DHS public website](#). There you will be able to browse the frameworks, see the rates and input units of service to see how rates will be calculated in the proposed system.

Reconsidering Staffing Ratios

Creating rates that are based on a person’s assessed needs and that are fair and consistent across the state requires a more robust dialogue between the case manager and the DT&H provider regarding staffing ratios. Currently, lead agencies determine the minimum staff-to-client

requirements using the DD Screening Document. DT&H providers comply with Minnesota Statutes 245B.055, which identifies the minimum level of staffing for DT&H services, establishes staff ratio requirements for each person who is present in the DT&H, and outlines conditions requiring additional direct service staff.

While the Intensive Work Group recommendation was to use the ratios identified by the above process, DSD heard differently from a number of day provider organizations in the fall of 2011. They reported their “actual” staffing ratios could look quite different dependent on a recipient’s needs. Therefore DSD is asking that you think about ratios as they relate to specific recipient needs and service planning requirements.

With the advent of the new Rate Management System, DSD asks lead agencies and providers to discuss how staffing ratios are used to support client goals, such as:

1. Community integration
2. Employment
3. Behavior management
4. Habilitation
5. Risk management
6. Change in intensity of staffing based on activity
7. Other goals in the individual’s ISP

Of course, a client’s needs may vary considerably across a week. Different services may be needed at different times of the day or on different days of the week and require a staffing patterns commensurate with that activity. DSD is asking lead agencies and providers to identify an average staffing ratio over the course of a typical week for each DT&H client. This information will be needed to populate the new online rate tool.

Change to Unit Rate

Additionally, in the proposed rate system, the unit rate for DT&H services will change from a daily unit or partial-day unit to either an hour unit or a 15-minute unit. Therefore, in the online rate tool, the case manager will also need to identify the number of units to be purchased.

Currently many lead agencies authorize **X** full days and **Y** partial days of service in order to accommodate days in which the client does not attend for the *full day*. Under the proposed system, lead agencies will need to identify the number of hourly units or 15-minute units that the client will be authorized to receive. This information should also be included in the online rate tool.

The Rate Management System will create “shadow” rates based on the rate framework for DT&H. For 2012, DT&Hs will continue to have day and partial-day units at program-specific established rates.

Information Needed from DT&H Providers

DHS is sending each DT&H provider two spreadsheets:

- The first is the “DT&H Summary Worksheet.” It is partially filled in and lists the clients of your DT&H. The filled-in data include the NPI/UMPI number, the provider name, the DD waiver recipient name, PMIN, County of Financial Responsibility (CFR), and case manager name. This data is based on information DHS had in December 2011. Please update this spreadsheet by deleting and adding client names to reflect your current situation in March 2012.
- The second worksheet is called “DT&H Individual Client Worksheet.” It is a blank template. It is intended to be used by providers to identify client-specific average weekly staffing ratios. It is up to the provider to assess if this spreadsheet is helpful to determine to weekly average ratio. Please transfer the information, as directed on to the first spreadsheet.

Please see pages 5-7 for step-by-step instructions on how to complete the spreadsheets.

Information Needed from Lead Agencies

Lead agencies are asked to work with DT&H providers to understand the average weekly staffing ratio the provider identifies for each DD waiver client. If the county has questions about results of the *client ratio*, please work with the provider to reach an understanding and make any needed adjustments. The agreed-upon ratio should be entered into the new Rate Management System. This should occur at the time of the annual or semi-annual review or at a schedule identified by the county, whichever comes first in 2012.

Definitions and Details

Average Weekly Staffing Ratio

For the purpose of this request, average weekly staffing ratio is the relationship between the client, direct care staff, and the number of clients being served by one staff person over an average week. In determining the average weekly staffing ratio, DT&H providers should:

- Use actual direct care hours worked. (Do not use staff schedules.)
- Select a specific, recent time period as a base for calculating your average weekly staffing ratio.
- Identify the variety of activities and associated direct care staffing requirements for each client.
- Use all of the above data to determine the client specific average weekly staffing ratio.

Providers should NOT include in their average staffing calculations hours for:

- Ancillary staff, such as drivers who are not direct care staff, program directors, cooks, etc., because these hours will be accounted for in another part of the rate framework.
- Monitoring technology used in place of direct care staffing, because these hours will be accounted for in another part of the rate framework.

Transportation to and from the DT&H

The data described below is also needed for the Rate Management System and should be included on the DT&H summary spreadsheet.

- If the provider (or the provider's subcontractor) provides to/from transportation, the provider should enter the average number of one-way trips per week.
- Enter the average number of direct miles from client pick-up point to drop off site, not van route miles.
- Additionally, if that time is also billed as DT&H, include the average amount of time per one-way trip.

Accuracy and completeness are important

Counties will enter each client's average weekly staffing ratio in the proposed rate system. Entering accurate and complete information in 2012 will help DHS better understand how well the proposed system will work in 2013 and make adjustments as needed before full implementation.

Timeline Overview

1. February 2012: The Rate Management System is available to lead agencies through SSIS. As of February 9, providers are able to see and experiment with the rate framework at this link: [Disability Services Rate Setting Home Page](#)
2. February-December 2012: Case managers will continue to authorize services as they normally do. In addition, they will enter client data into the proposed rate system to determine a "shadow rate."
3. March 2012: DT&H providers should complete the data request and work with their county/counties of financial responsibility (CFR), as needed.
4. March-August 2012: Case managers will conduct and providers should participate in annual and semi-annual reviews and discuss DT&H staffing ratios necessary for client ISP goals.
5. September-December 2012: DHS will use the data entered into the proposed rate system to analyze and refine the system in preparation for full implementation in January 2013.
6. January 2013: Minnesota will begin implementation of the Disability Waiver Rates System.

Questions

DT&H providers should refer questions to the DT&H client's case manager or county of financial responsibility.

Lead agencies should refer your questions and providers' questions that you are unable to answer regarding this request to DHS at DSD.Rates@state.mn.us.

Thank you!

We recognize that this request will require providers and case managers to begin thinking about DT&H services differently. As Minnesota moves away from *day and partial-day* rates, we have the opportunity to more accurately align staffing ratios to the client's service plan and goals.

Thank you. We appreciate your time and contributions to better understand the client-unique service delivery components within DT&H services.

Step-by-Step Instructions for Providers to Complete the Spreadsheets

To fill in the “DT&H Individual Client Worksheet”

Step	Action
1	Begin with the “DT&H Individual Client Worksheet.” <ul style="list-style-type: none"> • First, save the blank worksheet. It is a template that you will use again and again, once for each client. • Then open it and save it again under the name of the first client you will report on.
2	Record the client's name and the date you are completing this form at the top of the template.
3	To/From Transportation: >If you, the provider (or your subcontractor) provide to/from transportation to client, follow Steps 4-7. >If you or your subcontractor do not provide to/from transportation to clients, skip to Step 8.
4	In Column P, enter the average number of one-way trips per week.
5	In Column Q, enter the one-way trip miles—the most direct route, not the van route—between the client's home and your location.
6	In Column R, enter the average time in minutes per one-way trip.
7	If you bill transportation time as DT&H service, enter the description “transportation” in the activity columns for each day in an average week when you provide transportation. For example, if a client receives services from you on Monday, Wednesday, and Friday and is being transported by you between 8-9 a.m. and between 3-4 p.m. on those days, you would enter “transportation” as the activity description in Columns C, G, and K.
8	In a typical week, consider what day and what hour the client arrives at your location. Record the average staffing ratio for each hour the client is at your location. >Ratios should be reported as one staff person to X number of clients or 1:x, unless that is not possible, as when there are two staff people per client or 2:1. The staff person should always be listed first.
9	Record the staffing ration and describe the activity taking place each hour this client is receiving services from you. >DHS is particularly interested when a change in activity results in a change in the staffing ratio. For example, if one client needs assistance with a particular activity and the staffing ratio is more intense for that client (going from 1:6 to 1:2, for example), be sure to record the change in activity. >PLEASE NOTE: If one client receives more intense support, then other clients must correspondingly receive less intense support for that time period. (Their ratios will go from 1:6 to 1:10, for example)—UNLESS you bring in additional staff for that time period.

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Step	Action
10	<p>“Average Daily Staffing Ratio:” For each day this client is receiving services from you, calculate an average daily ratio. Record that ratio in the gray cells on Line 28.</p> <p>For example, if a client is receiving services for six hours on Monday and the hourly ratios are:</p> <p>9:00-10:00 a.m. 1:6 10:00-11:00 a.m. 1:6 11:00-Noon 1:6 Noon-1:00 p.m. 1:2 1:00-2:00 p.m. 1:4 2:00-3:00 p.m. 1:4</p> <p>Take the average of the second number in each ratio ($6+6+6+2+4+4 = 28/6$ hours = 4.66 or an average daily staffing ratio of 1:4.66.</p> <p>If there is any variation in the first number of the ratio, as when there are two staff per client or a 2:1 ratio, you must also average the first numbers in the hourly ratios.</p>
11	<p>“Average Weekly Staffing Ratio:” Use the average daily ratios to calculate an average weekly staffing ratio. Record that ratio in the gray cell on Line 29.</p> <p>For example, if a client receives services from you on Monday, Wednesday and Friday, and the average daily staffing ratios are:</p> <p>Monday 1:4.66 Wednesday 1:4.33 Friday 1:4.66</p> <p>$4.66 + 4.33 + 4.66 = 13.65/3$ days = 4.55 or an average weekly staffing ratio of 1:4.55</p>
12	<p>“Average Hours of Attendance per Week:” Record the average hours of attendance per week in the gray cell on Line 30.</p> <p>>If you bill for to/from transportation time as DT&H service, include that time in the average number of hours per week.</p>

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To fill in the "DT&H Summary Sheet"

Step	Action
1	<p>Save this spreadsheet.</p> <p>>You will be transferring data from data from all your DT&H Individual Client Worksheets to the DT&H Summary Sheet.</p> <p>>You will also be sharing the data from this Summary Sheet with each client's case manager at annual or semi-annual reviews in 2012.</p>
2	<p>The DT&H Summary Sheet lists clients as of December 2011.</p> <p>Review the spreadsheet.</p> <p>>Delete the names of clients who have not received any services from you in 2012.</p> <p>>Add the names of clients who began receiving services from you in 2012.</p>
3	<p>For each client, you will transfer information from the DT&H Individual Client Worksheet to the DT&H Summary Sheet.</p> <p>Transfer the average number of hours attendance per week on Line 30 on the Individual Worksheet to the line with the client's name in column headed Average Hours Attendance per Week on the Summary Worksheet.</p>
4	<p>Transfer the average weekly staffing ratio on Line 29 on the Individual Worksheet to the line with the client's name in the column headed DT&H Average Weekly Staffing Ratio on the Summary Worksheet.</p>
5	<p>If you (or your subcontractor) provide to/from transportation to clients, follow Steps 6-8.</p> <p>If you (or your subcontractor) do not provide to/from transportation, skip to Step 9.</p>
6	<p>Transfer the number in Column P (average one-way trips per week) on the Individual Worksheet to the line with the client's name in the column headed Average Number of One-way Trips per Week on the Summary Worksheet</p>
7	<p>Transfer the number in Column Q (one way trip miles) on the Individual Worksheet to the line with the client's name in the column headed One-way Trip Miles (Direct Route) on the Summary Worksheet.</p>
8	<p>Transfer the number in Column R (average time in minutes per one-way trip) on the Individual Worksheet to the line with the client's name in the column headed Average Time in Minutes per One-way Trip on the Summary Worksheet.</p>
9	<p>As each of your clients is scheduled for their next annual or semi-annual review, take the Individual Worksheet for that client and the Summary Worksheet to the meeting with the case manager.</p> <p>DHS wants the DT&H provider and the case manager to come to agreement on the accuracy of the average weekly staffing ratio for each client, <u>based on the client's ISP</u>. The case manager will then enter the average weekly staffing ratio and the transportation data into the new rate system between March and September 2012.</p>

End of instructions