

# Self-Assessment of Strategies for Expanding the System of Care Approach

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*Georgetown University National Technical Assistance Center for Children's Mental Health and the National Evaluation of the Comprehensive Community Mental Health Services for Children and Their Families Program*

**STATE:**

**DATE COMPLETED:**

**ASSESSMENT COMPLETED BY:**

NAME:

TITLE:

AGENCY:

DAYTIME PHONE:

E-MAIL ADDRESS:

## Instructions

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

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

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

**Rating of Overall Progress to Date in Expanding the System of Care Approach Statewide:**

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**I. Implementing Policy, Regulatory, and Partnership Changes**

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

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

	None	Some	Moderate	Significant	Extensive
a) Creating or assigning a viable, ongoing focal point of management and accountability at the state level (e.g., agency, office, staff) to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
b) Creating or assigning viable, ongoing focal points of accountability and management at the local level (e.g., agency, office, staff) to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

**2. Developing and Implementing Strategic Plans**

	None	Some	Moderate	Significant	Extensive
Developing and implementing strategic plans that establish the system of care philosophy and approach as goals for the state's service delivery system to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

**3. Strengthening Interagency Collaboration**

	None	Some	Moderate	Significant	Extensive
a) Developing interagency structures to set policy, guide, and support expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
b) Incorporating the system of care philosophy and approach into memoranda of understanding and interagency agreements to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
c) Cultivating strong interagency relationships and partnerships to coordinate and/or finance systems of care to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

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

	None	Some	Moderate	Significant	Extensive
a) Promulgating rules and regulations that require elements of the system of care philosophy and approach to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**6. Enacting Legislation**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**9. Linking With and Building on Other System Change Initiatives**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**10. Expanding Family and Youth Partnerships at the Policy Level**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**II. Developing or Expanding Services and Supports Based on the SOC Philosophy and Approach**

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

**1. Creating or Expanding a Broad Array of Services**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**2. Creating or Expanding an Individualized Approach to Service Delivery**

Creating or expanding an individualized, wraparound approach to service planning and delivery

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**3. Creating or Expanding Care Management Entities**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**4. Creating or Expanding Care Coordination and Care Management**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

**6. Creating, Expanding, or Changing the Provider Network**

a) Creating, expanding, or changing the provider network by adding new types of home- and community-based providers, changing licensing and certification, etc., to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

b) Creating, expanding, or changing the provider network by retooling community and residential providers to provide services that are aligned with the system of care philosophy and to diversify the services they offer to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

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

Creating or expanding the use of evidence-informed and promising practices and practice-based evidence approaches within systems of care that improve outcomes to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

**8. Improving the Cultural and Linguistic Competence of Services**

Creating or expanding the use of culturally and linguistically competent approaches to service delivery to improve outcomes to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

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

Developing and implementing strategies directed at reducing racial, ethnic, and geographic disparities in service delivery across child-serving systems to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

**10. Implementing or Expanding the Use of Technology**

Implementing or expanding the use of technology (e.g., electronic medical records, telehealth, videoconferencing, e-therapy) to support expansion of the system of care approach	None <b>0</b>	Some <b>1</b>	Moderate <b>2</b>	Significant <b>3</b>	Extensive <b>4</b>
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**Notes:**

### III. Creating or Improving Financing Strategies

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

##### 1. Increasing the Use of Medicaid

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

##### 3. Redeploying Funds from Higher-Cost to Lower-Cost Services

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

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

None	Some	Moderate	Significant	Extensive
0	1	2	3	4

**Notes:**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**6. Increasing the Use of Funds from Other Child-Serving Systems**

a) Obtaining new or increased funds from other child-serving agencies to finance infrastructure and/or services to support expansion of the system of care approach

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**7. Increasing the Use of Local Funds**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**8. Increasing the Use of Federal Entitlements Other Than Medicaid**

Increasing the use of federal entitlements other than Medicaid to finance infrastructure and/or

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**9. Accessing New Financing Structures and Funding Streams**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**IV. Providing Training, Technical Assistance, and Workforce Development**

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

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

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**2. Creating Ongoing Training and Technical Assistance Capacity**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**3. Providing Training, Technical Assistance, and Coaching on Evidence-Informed and Promising Practices and Practice-Based Evidence Approaches**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**4. Implementing Workforce Development Strategies**

Implementing strategies to prepare future workforce to work within the system of care framework

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**5. Implementing Strategies to Diversity the Workforce**

Implementing strategies to diversify the workforce by including staff with cultural and language diversity, paraprofessionals, families, and youth

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

**V. Generating Support**

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

**1. Establishing Strong Family and Youth Organizations**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**

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

None  0    Some  1    Moderate  2    Significant  3    Extensive  4

**Notes:**



**2. Generating Support Among Administrators and Policy Makers**

	None	Some	Moderate	Significant	Extensive
a) Generating political and policy-level support for the system of care philosophy and approach among high-level administrators and policy makers at the state level for expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
b) Generating political and policy-level support for the system of care philosophy and approach among high-level administrators and policy makers at the local level for expansion of the system of care approach	0	1	2	3	4

**Notes:**

**3. Using Data**

	None	Some	Moderate	Significant	Extensive
a) Using data on the outcomes of systems of care and services to promote expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
b) Using data on cost savings across systems and comparison with high-cost services to promote expansion of the system of care approach	0	1	2	3	4

**Notes:**

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

	None	Some	Moderate	Significant	Extensive
a) Cultivating partnerships with provider agency and organization leaders, managed care organizations, etc., to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

	None	Some	Moderate	Significant	Extensive
b) Cultivating partnerships with civic leaders and other key leaders to support expansion of the system of care approach	0	1	2	3	4

**Notes:**

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

Informing key constituencies about the value and merits of expanding the system of care approach through social marketing and strategic communications	None	Some	Moderate	Significant	Extensive
	0	1	2	3	4

**Notes:**

**6. Cultivating Leaders**

Cultivating ongoing leaders and champions for the system of care philosophy and approach to support expansion of the system of care approach (e.g., through training, leadership development activities)	None	Some	Moderate	Significant	Extensive
	0	1	2	3	4

**Notes:**

### Most Significant Strategies

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

- 1.
- 2.
- 3.
- 4.
- 5.

### State–Community Partnerships for Expanding the System of Care Approach

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

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

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

### Potential Challenges to Statewide System of Care Expansion

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

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

# System of Care Definition and Philosophy

## Definition

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

## Core Values

### Systems of care are:

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

## Guiding Principles

### Systems of care are designed to:

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

Stroul, B., Blau, G., & Friedman, R. (2010). *Updating the system of care concept and philosophy*. Washington, DC: Georgetown University Center for Child and Human Development, National Technical Assistance Center for Children's Mental Health.