

# Self-Direction through Personalized Budgeting

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**SAMHSA**  
Substance Abuse and Mental Health  
Services Administration

# Disclaimer:

This webinar was developed [in part] under contract number HHSS283201200021I/HHS28342003T from the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS). The views, policies and opinions expressed are those of the authors and do not necessarily reflect those of SAMHSA or HHS.

# Mental Health Self-Direction: Basic Principles and Research Evidence



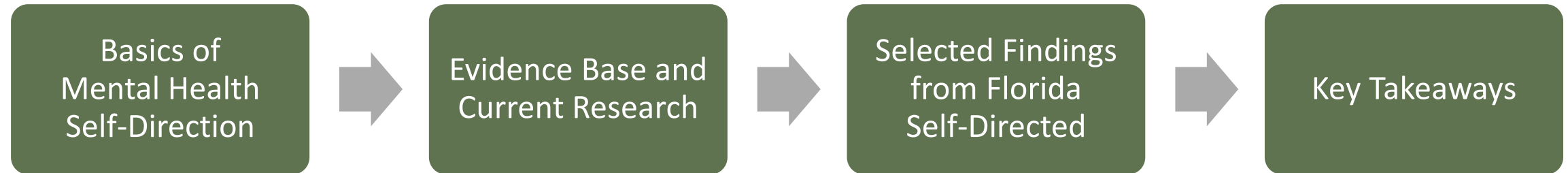
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[www.mentalhealthselfdirection.org](http://www.mentalhealthselfdirection.org)

Location of  
presentation



***SAMHSA***  
Substance Abuse and Mental Health  
Services Administration

# Presentation Overview



# Mental Health Self-Direction Elements



## Person-Centered Plan

- Based on participants' strengths, capabilities, preferences, goals
- Creativity and flexibility are essential



## Individual Budget

- Amounts and methods for setting the budget vary
- Often used for non-traditional goods and services and traditional services



## Brokerage Support

- Works with the person to develop the plan and administer the budget
- Peers with lived experience often act as support brokers

# Core Principles of Self-Direction



Recovery, independence, self-sufficiency, and choice

With adequate support, everyone is capable of self-direction

Every person is unique and knows best what works for them

# 3 Priorities from a 2015 International Learning Exchange



of 45 people from seven countries

Self-direction  
represents a culture  
shift for value-  
based system  
change

People with lived  
experience are  
involved and  
supported at every  
level

Stakeholder  
communication is  
essential and must  
include quantitative  
data and personal  
narratives

# Who is self-directing in the US?

More than 300 programs with over a million participants

In 2013, 700 individuals with serious mental health conditions were enrolled in mental health self-direction in seven states

~500 more expected to enroll by 2018

## Populations Self-Directing

- Older adults with long-term care needs
- People with physical disabilities
- People with intellectual and developmental disabilities
- People with traumatic brain injury
- Families of children with autism
- Veterans
- More recently, people with serious mental health conditions and substance use disorders

# US Mental Health Self-Direction Efforts

## Florida Self-Directed Care

- Established in state legislature
- Largest and longest-standing effort to date

## Michigan Self-Determination

- Certified Peer Specialists are Independent Support Brokers
- Financed through Medicaid Managed Care Waiver

## Utah Mental Health Access to Recovery

- Established in Salt Lake County in 2014
- Based on Access to Recovery for substance use populations

## Pennsylvania Consumer Recovery Investment Fund-SDC

- Brokers and leadership are Certified Peer Specialists
- Financed through managed care reinvestment funds

## Texas SDC and Wellness Incentives Navigation Program

- WIN study has physical health and wellness focus
- Both randomized trials; new effort rolling out now

## New York Self-Directed Services

- Began Fall 2017
- Financed through Medicaid 1115 Waiver Authority

# Evidence Based: Mental Health Self-Direction

## 2014 Systematic Review

- 15 studies through 2013
- Mental health self-direction associated with choice and control, increased quality of life
- Significant methodological limitations

## Personal Health Budgets Pilot

- Greater care-related quality of life and psychological wellbeing
- Reductions in inpatient and primary MH care costs for MH group (n=412)
- Choice and flexibility associated with improved outcomes

## 2016 Goods and Services Analysis

- Explored types of goods and services purchased by 60 self-directing participants in Pennsylvania
- Participants used “personal medicine” strategies to meet goals

# Demonstration & Evaluation of Self-Direction in Mental Health: Components



## Formative Process Evaluation

- *Document implementation activities*
- *Develop guidelines for replication and expansion*



## Systems-Level Outcomes Evaluation

- *Cost and service use implications*
- *Analysis of administrative data in some sites*

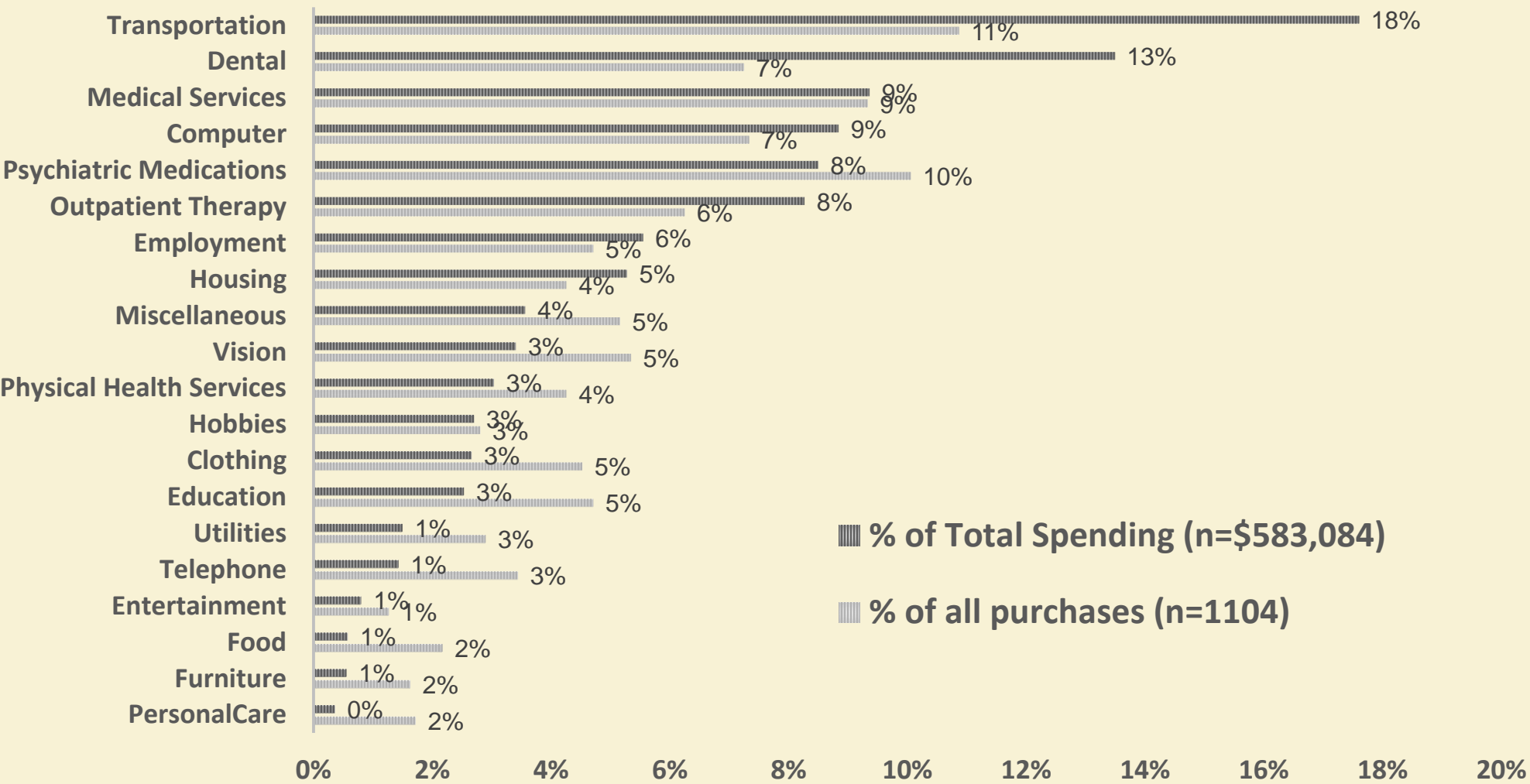


## Individual-Level Local Outcomes Evaluation

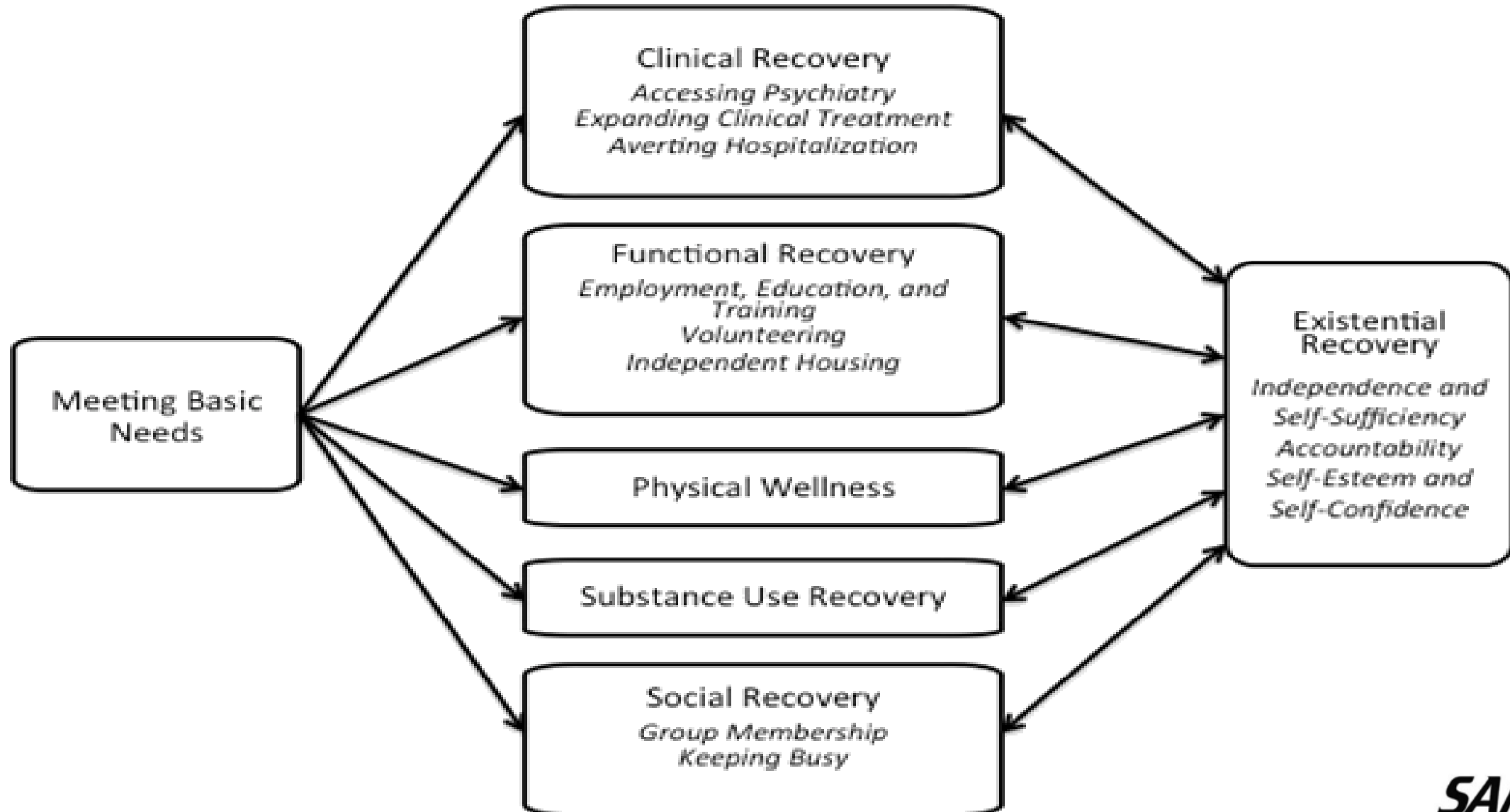
- *Look different in each state and involve collaborations with local researchers*

# How do Participants Use Their Budgets?

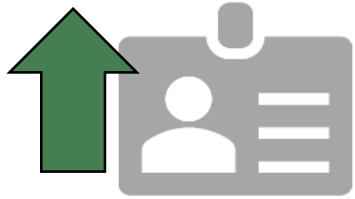
FlorideSDC Spending by Purchase Category, July 2010 to April 2015



# Recovery-Impact of Self-Direction



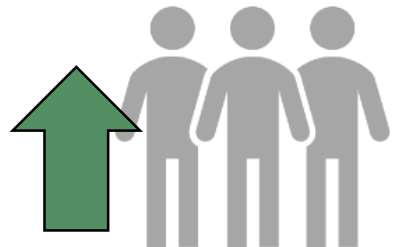
# Compared to people with similar characteristics who did not self-direct, FloridaSDC participants were...



1.97 times more likely to experience a positive **employment** outcome



2.99 times more likely to experience a positive **housing** outcome



2.75 times more likely to increase or continue to engage in **support groups**

The above figures are odds ratios from logistic regressions predicting a positive outcome from SDC enrollment, controlling for observed factors. All findings were statistically significant at  $p < 0.001$

# Policy Implications and Research Limitations



*"In a Self-Directed  
Care program, you can  
only move forward.  
There's no going back.  
It's always forward."*

**JULIE**

- Implementation and program design have critical implications for person- and system-level outcomes
- Clearer program implementation/fidelity standards needed
- Poverty and system inadequacies are critical contextual factors

## Limitations:

- Generalizability
- Administrative data
- Unobserved variables

# Takeaways

- Wide variation in purchasing, including services and goods not traditionally considered “mental health treatment”
- Established positive relationship between self-direction and recovery, with circular gains in independence, self-esteem, and self-confidence



# More Takeaways



- Self-directing participants more likely than non-participants to see positive outcomes related to days worked for pay, independent housing, and support group engagement

*"In the 55 years I've been on this planet, this is the best I've felt, being in this program. It's given me what I've been looking for all my life: a way and a means of feeling accepted, feeling like I could be me. And when I feel that, I can excel."*

**JOHN**

# Contact



When I finally found myself working full-time, I received benefits and insurance that I'd never had before, and all of that on my own. I was making enough to sustain myself. I had achieved it."  
— Wesley



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*“Self-Directed Care was truly recovery. It was about receiving care that encouraged, that nurtured, that met me where I was.”*

Julie Schnepf  
Consumer Recovery Investment Fund  
Self-Directed Care (CRIF-SDC)



# Self-Directed Care: The Michigan Experience



Michigan Department of Health & Human Services

## Self-Directed Care The Michigan Experience

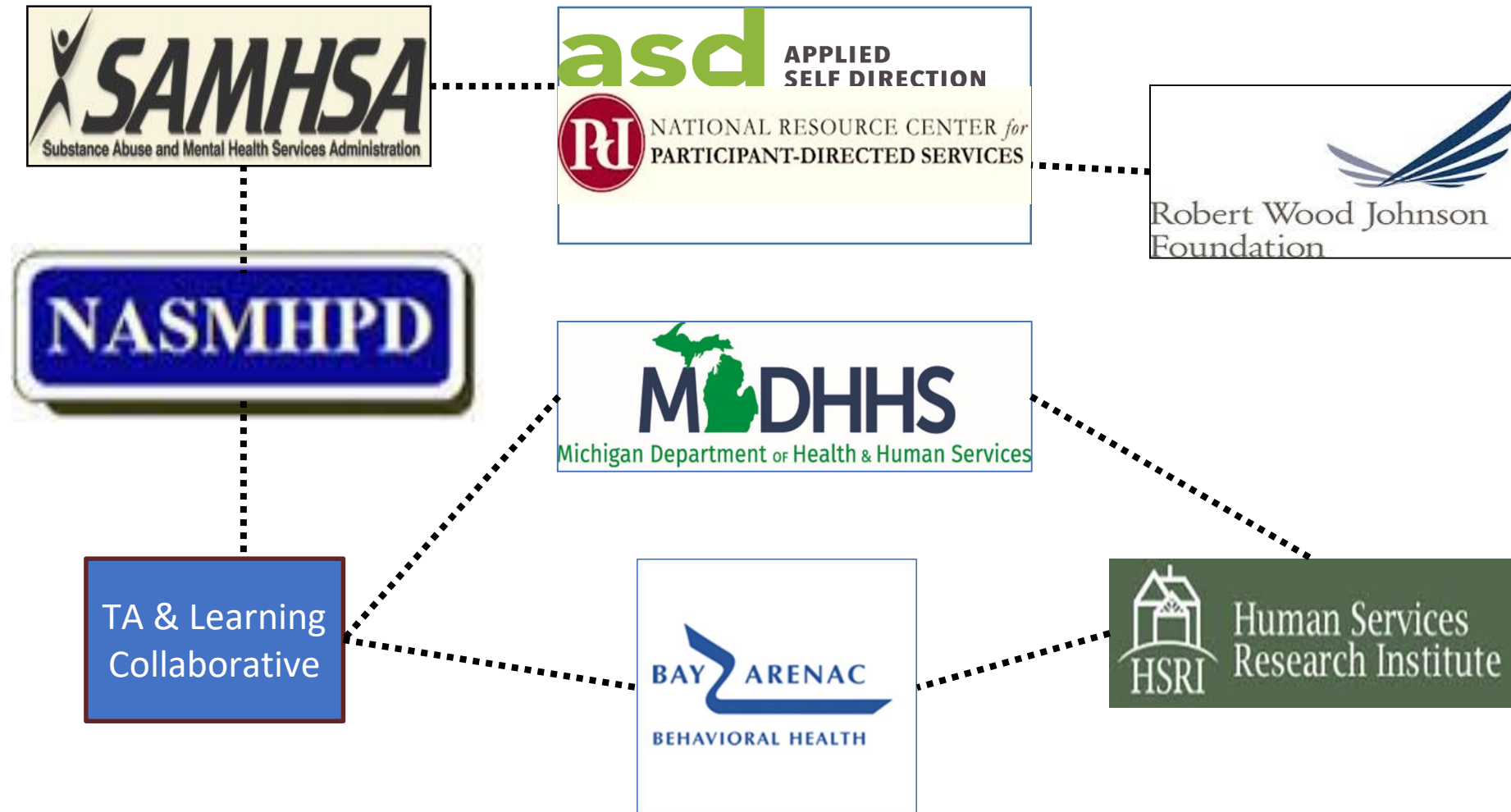
*Putting people first, with the goal of helping all Michiganders lead healthier and more productive lives, no matter their stage in life.*

*“From the beginning, self-determination has been built on a bedrock of improved quality through responsible freedom, and, fiscal conservatism.”*

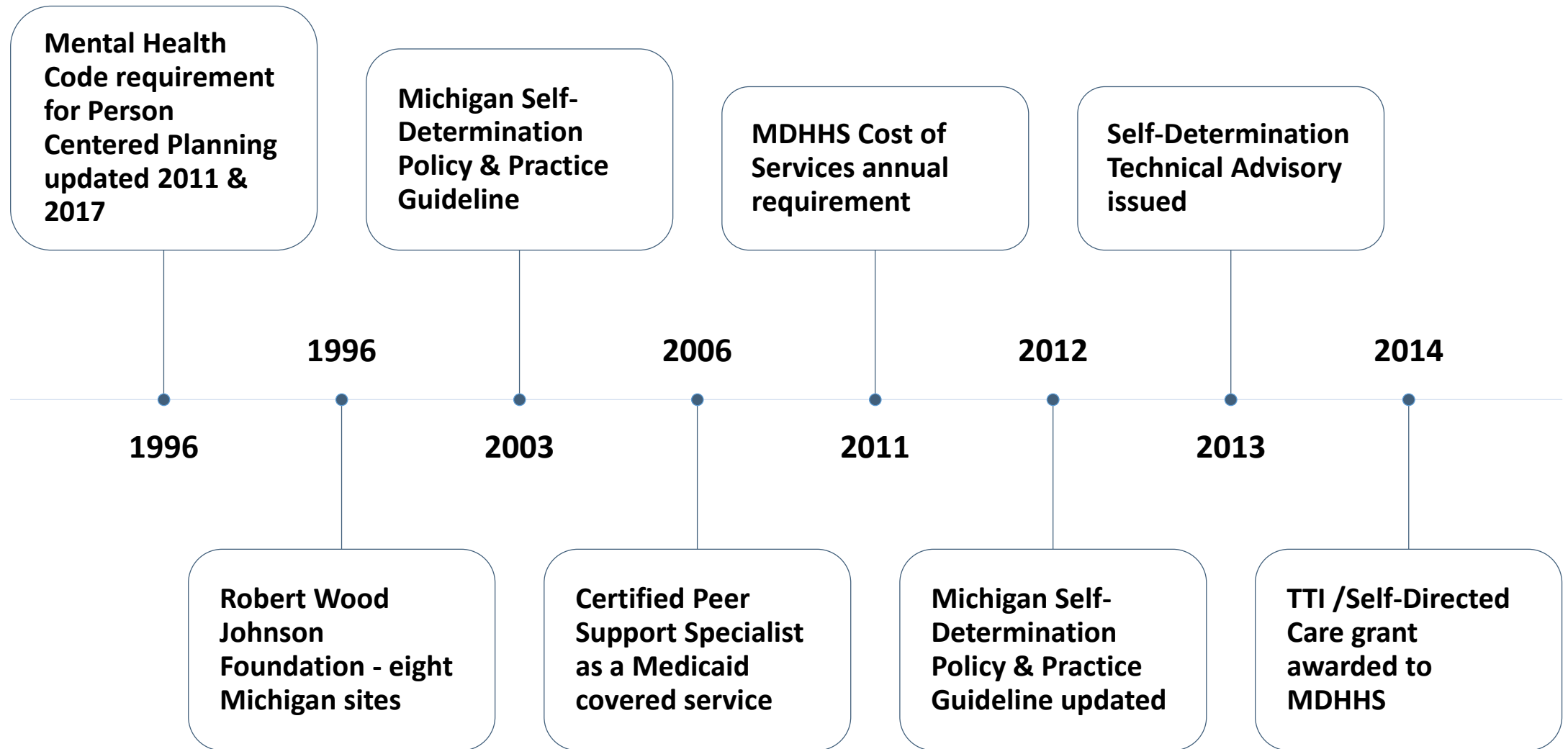
Tom Nerney, Founder , Center for Self-Determination

Nerney, T., Conroy, J. & Carver, P. (2017). Threshold of Freedom. The Revolutionary Promise of Self-Determination. Saarbrücken, LAP Lambert Academic Publishing.

# TTI Demonstration & Evaluation Structure



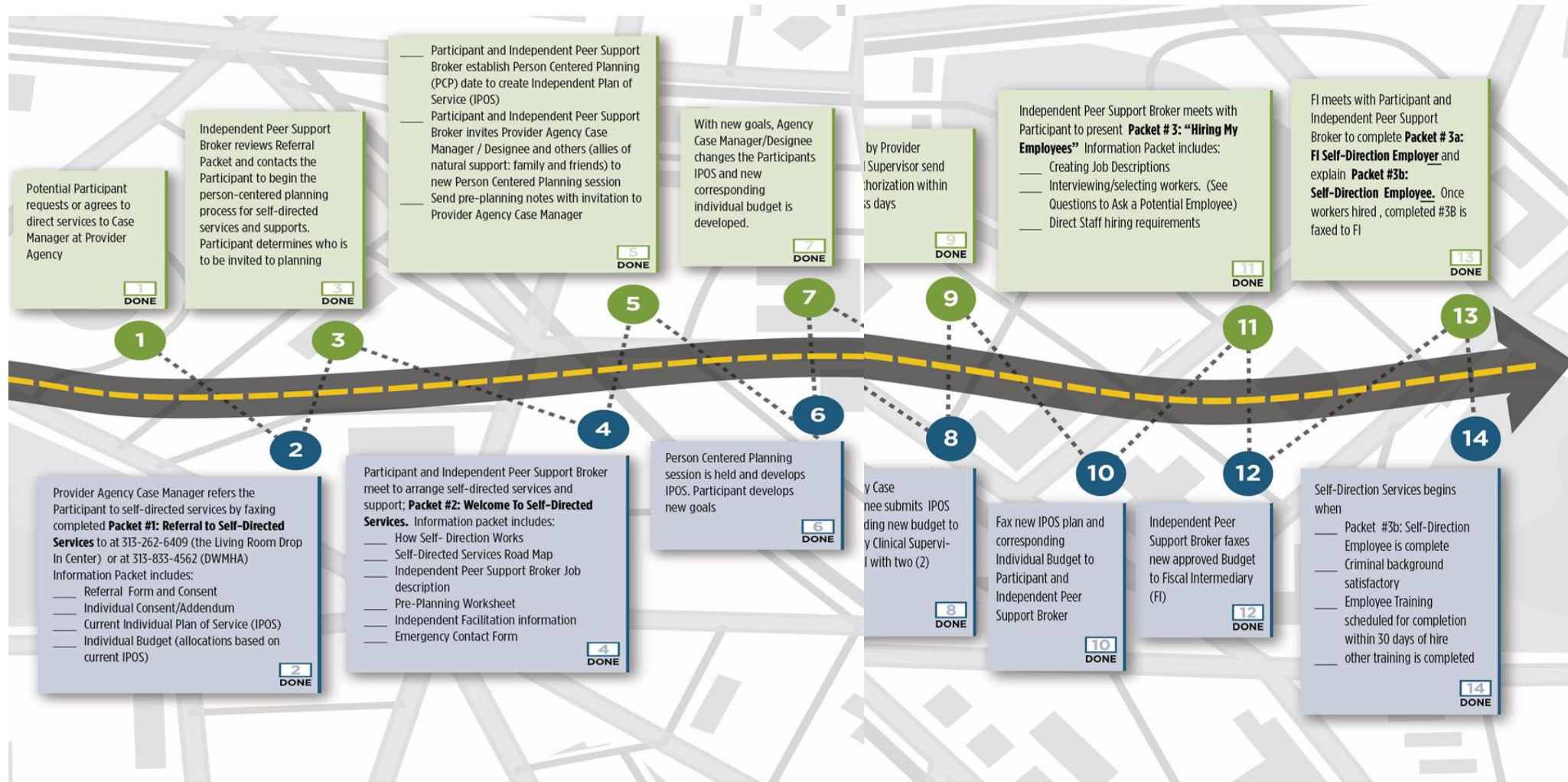
# Self-Direction in Michigan



- Certified Peer Support Specialists (CPSS) as Independent Support Brokers
- Brokering an array of services i.e. person centered planning; linking & coordinating of services; assisting with employment & financial management services; monitoring & advocating responsibilities regarding the needs of individuals with mental health and other chronic conditions, as well as substance use disorders
- Highly trained workforce with natural skills & abilities to provide brokerage services
- Shared history of recovery & ability to gain trust & respect

# Road Map: Self-Directed Care

TTI MICHIGAN



Version 11.21.14

COMMUNITY DRIVE INC.

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 Substance Abuse and Mental Health  
 Services Administration

# Self-Directed Care Roadmap

TTI MICHIGAN

1. Referral to Self-Directed Care Form
2. Welcome to Self-Directed Care Services packet
3. How Self-Direction Works
4. Self-Direction Roadmap
5. Independent Peer Support job description
6. Pre-Planning worksheet
7. Independent Facilitation information
8. Hiring My Employees
9. Creating job descriptions
10. Interviewing and selecting workers
11. Direct staff hiring requirements
12. Employee & Employer Fiscal Intermediary information

COMMUNITY DRIVE 

- Simplify & visualize the implementation process
- Developed with stakeholders
- Everyone knows what to do & when steps need to be accomplished
- To quickly communicate plans & expectations
- To generate a shared understanding
- To communicate plans with other stakeholders
- Emphasizes that SDC is a journey & the map is a guide
- Straightforward steps needed to taken
- Convey the message to providers that SDC process does not need to be overly complicated



## Peer Support Specialist as Support Brokers

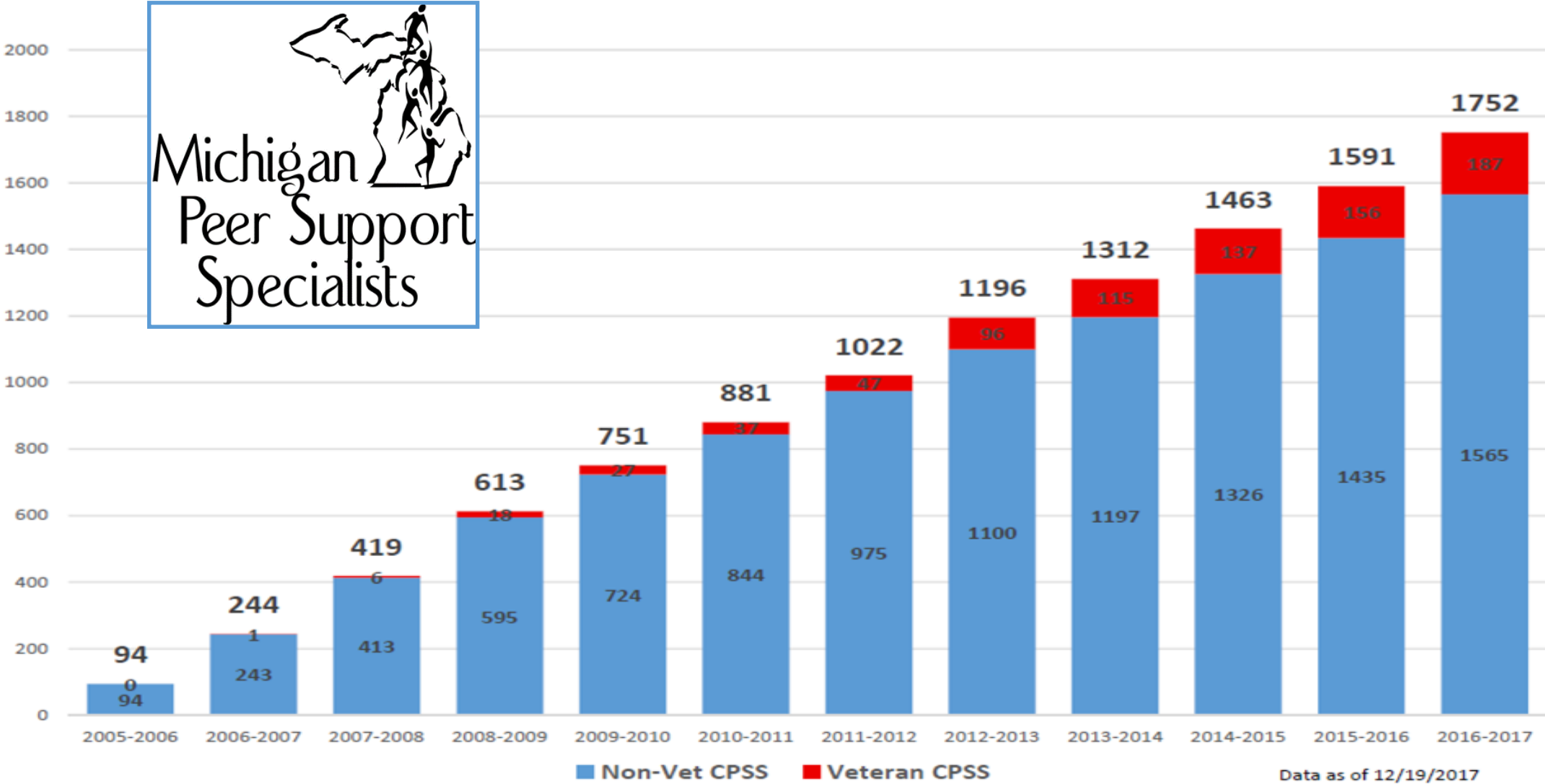
Support brokers work closely with participants to develop, implement, monitor, & adapt their life plans as their circumstances change.

Certified Peer Support Specialists (CPSS) are often employed as Independent Support Brokers.

These peer support brokers frequently forge powerful relationships with participants, who, perhaps for the first time, have someone in their lives who both understands where they are coming from & respects and encourages their independence.

From Mental Health in Self-Direction  
[www.mentalhealthselfdirection.org](http://www.mentalhealthselfdirection.org)

# Peer Support Specialists Certified & Trained 2005-2017





# Background Information

- Self-Determination arrangements offered for 15 years
- Primary focus on individuals with I/DD
- Joined TTI Self-Directed Care project Jan 2016
- First participant enrolled in Self-Directed Care April 2016
- Updated Strategic Leadership & Board of Directors May 2017
- Enrolled participants with mental health conditions
- Initially, seven budgets decreased, two budgets increased & two budgets stayed neutral

# Outcomes from Oct 2016 to Sept 2017

- Successfully implement & sustain Self-Directed Care for individuals with mental health conditions
- 13 individuals currently participating
- Estimated cost savings from claims data: \$35,030.00
- Estimated cost savings from initial person-centered plan: \$92,354.78
- Individual budgets do not include cost savings in emergency services, crisis planning and/or inpatient care
- Hospital reductions: 63 days
- Nine budgets decreased, two budgets increased, three were neutral
- Individual outcomes demonstrated a higher level of physical & behavioral health integration as a result of budget & employer authority

# Participant Outcomes

Personal  
responsibility

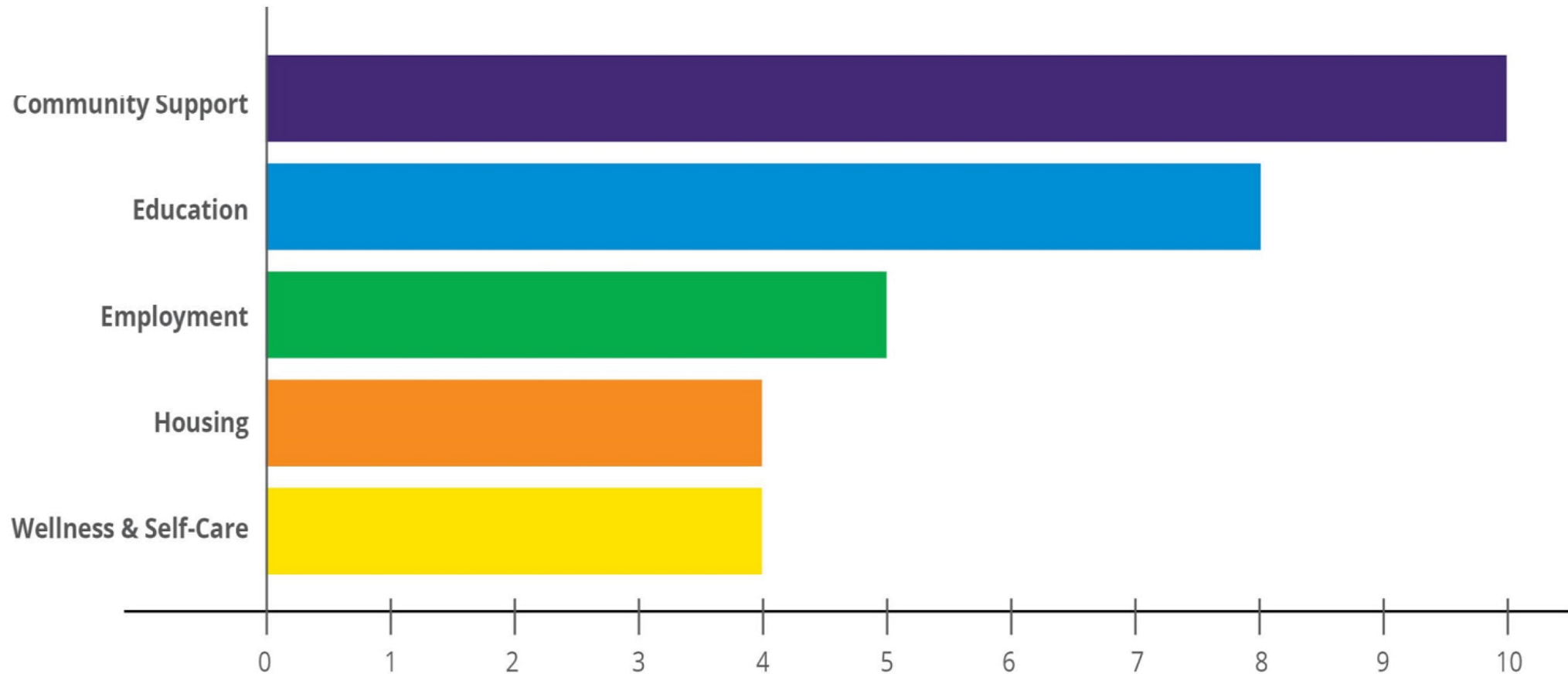
Meaningful  
engagement

Long-term  
community  
involvement

Decreased  
dependence  
on the  
system

# 13 Participant Goals

## MICHIGAN SELF-DIRECTED CARE PILOT PROJECT PARTICIPANT GOALS



# Self-Directed Care INCREASED



Choice

Engagement

Productivity

# Self-Directed Care INCREASED

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# Self Direction Resources

- [Mentalhealthselfdirection.org](http://hsri.us2.list-manage2.com/track/click?u=abe97fa7a35fb4137a263a13a&id=9c07ccfc23&e=ce77012cf9) 2017

<http://hsri.us2.list-manage2.com/track/click?u=abe97fa7a35fb4137a263a13a&id=9c07ccfc23&e=ce77012cf9>

- [Person-Centered Planning Policy and Practice Guideline](http://www.michigan.gov/documents/mdch/PersonCentered_Planning_Revised_Practice_Guideline_367086_7.pdf) 2017

[http://www.michigan.gov/documents/mdch/PersonCentered\\_Planning\\_Revised\\_Practice\\_Guideline\\_367086\\_7.pdf](http://www.michigan.gov/documents/mdch/PersonCentered_Planning_Revised_Practice_Guideline_367086_7.pdf)

- [Self-Determination Technical Advisory](http://www.michigan.gov/documents/mdch/Self_Determination_Technical_Advisory_Final_420433_7.pdf) 2013

[http://www.michigan.gov/documents/mdch/Self\\_Determination\\_Technical\\_Advisory\\_Final\\_420433\\_7.pdf](http://www.michigan.gov/documents/mdch/Self_Determination_Technical_Advisory_Final_420433_7.pdf)

- [Self-Determination Policy and Practice Guideline](http://www.michigan.gov/documents/SelfDeterminationPolicy_70262_7.pdf) 2012

[http://www.michigan.gov/documents/SelfDeterminationPolicy\\_70262\\_7.pdf](http://www.michigan.gov/documents/SelfDeterminationPolicy_70262_7.pdf)